

Overall Score:

79 - Moderate

Legal Framework Score:

95 - Very Strong

Actual Implementation Score:

64 - Weak

Category 1. Non-Governmental Organizations, Public Information and Media

1.1. ⁷⁸Anti-Corruption Non-Governmental Organizations

1. Are anti-corruption/good governance NGOs legally protected?

67

01a. In law, citizens have a right to form NGOs focused on anti-corruption or good governance.

Yes | No

References:

Law No. 246/18, July 2005, regarding associations and foundations gives the right to focus on anti-corruption or good governance.

Available link: http://www.cdep.ro/pls/legis/legis_pck.htm_act_text?id=65255

The Romanian Constitution, Article 40-1, guarantees the right to free association.

Available link: <http://www.cdep.ro/pls/dic/site.page?id=339>

Yes: A YES score is earned when freedom to assemble into groups promoting good governance or anti-corruption is protected by law, regardless of political ideology, religion or objectives. Groups with a history of violence or terrorism (within last ten years) may be banned. Groups sympathetic to or related to banned groups must be allowed if they have no history of violence. Non-governmental organizations (NGOs) are defined here as any organized group that is separate from the state working on issues of governance, transparency, and/or anti-corruption.

No: A NO score is earned when any single non-violent group is legally prohibited from organizing to promote good governance or anti-corruption. These groups may include non-violent separatist groups, political parties or religious groups.

01b. In law, anti-corruption/good governance NGOs are free to accept funding from any foreign or domestic sources.

Yes | No

References:

Law no. 32/ 1994 gives the right for a diversity of NGOs, active in the social and community areas or defending human rights etc.,

to accept sponsorship from Romanian or foreign sponsors.

Available link: http://www.euroavocatura.ro/legislatie/208/Legea_nr_32_1994_privind_sponsorizarea

Also, there are no provisions regarding the restriction of such foreign or domestic funding in any of the Romanian laws, as long as the general accounting rules are not infringed upon.

Yes: A YES score is earned if anti-corruption/good governance NGOs face no legal or regulatory restrictions to raise or accept funds from any foreign or domestic sources. A YES score may still be earned if funds from groups with a history of violence or terrorism (within last ten years) are banned.

No: A NO score is earned if there any formal legal or regulatory bans on foreign or domestic funding sources for NGOs focused on anti-corruption or good governance.

01c. In law, anti-corruption/good governance NGOs are required to disclose their sources of funding.

Yes | **No**

Comments:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies.

References:

NGOs are not required by law to publicly disclose their sources of funding, but have the duty to keep contracts and accounting documents in case of fiscal inspection done by authorities.

Yes: A YES score is earned if anti-corruption/good governance NGOs are required to publicly disclose their sources of funding.

No: A NO score is earned if no such public disclosure requirement exists.

2. Are anti-corruption/good governance NGOs able to operate freely?

83

02a. In practice, the government does not create barriers to the organization of new anti-corruption/good governance NGOs.

100 | **75** | 50 | 25 | 0

Comments:

In order to set up any kind of NGO, one must pass through a bureaucratic procedure during which formal approvals from the Ministry of Justice, First Instance Court and from the Public Finance Administration are necessary.

This is confirmed by Law No. 246/2005 regarding foundations and associations. Available link: http://www.cdep.ro/pls/legis/legis_pck.http_act_text?id=65255

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

100: NGOs focused on promoting good governance or anti-corruption can freely organize with little to no interaction with the government, other than voluntary registration.

75:

50: NGOs focused on promoting good governance or anti-corruption must go through formal steps to form, requiring interaction with the state such as licenses or registration. Formation is possible, though there is some burden on the NGO.

Some unofficial barriers, such as harassment of minority groups, may occur.

25:

0: Other than pro-government groups, NGOs focused on promoting good governance or anti-corruption are effectively prohibited, either by official requirements or by unofficial means, such as intimidation or fear.

02b. In practice, anti-corruption/good governance NGOs actively engage in the political and policymaking process.

100 | 75 | 50 | 25 | 0

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

100: Non-governmental organizations focused on anti-corruption or good governance are an essential component of the political process. NGOs provide widely valued insights and have political power. Those NGOs play a leading role in shaping public opinion on political matters.

75:

50: Anti-corruption/good governance NGOs are active, but may not be relevant to political decisions or the policymaking process. Those NGOs are willing to articulate opinions on political matters, but have little access to decision makers. They have some influence over public opinion, but considerably less than political figures.

25:

0: Anti-corruption/good governance NGOs are effectively prohibited from engaging in the political process. Those NGOs are unwilling to take positions on political issues. They are not relevant to changes in public opinion.

02c. In practice, no anti-corruption/good governance NGOs have been shut down by the government for their work on corruption-related issues during the study period.

Yes | No

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

Yes: A YES score is earned if there were no NGOs shut down by the government or forced to cease operations because of their work on corruption-related issues during the study period. YES is a positive score.

No: A NO score is earned if any NGO has been effectively shut down by the government or forced to cease operations because of its work on corruption-related issues during the study period. The causal relationship between the cessation of operations and the NGO's work may not be explicit, however the burden of proof here is low. If it seems likely that the NGO was forced to cease operations due to its work, then the indicator is scored as a NO. Corruption is defined broadly to include any abuses of power, not just the passing of bribes.

3. Are anti-corruption/good governance NGO activists safe when working on corruption issues?

100

03a. In practice, in the past year, no anti-corruption/good governance NGO activists working on corruption issues have been imprisoned.

Yes | No

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

Yes: A YES score is earned if there were no NGO activists imprisoned because of their work covering corruption. YES is a positive score.

No: A NO score is earned if any activist was jailed in relation to work covering corruption. The causal relationship between the official charges and the person's work may not be explicit, however the burden of proof here is low. If it seems likely that the person was imprisoned due to his or her work, then the indicator is scored as a NO. Corruption is defined broadly to include any abuses of power, not just the passing of bribes. "Imprisoned" is defined here as detention by the government lasting more than 24 hours.

03b. In practice, in the past year, no anti-corruption/good governance NGO activists working on corruption issues have been physically harmed.

Yes | No

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

Yes: A YES score is earned if there were no documented cases of NGO activists covering corruption being assaulted in the specific study period. A YES score can be earned if there was an attack but it was clearly unrelated to the activist's work. YES is a positive score.

No: A NO score is earned if there were any documented cases during the study period of assault to an activist who covers corruption. Corruption is defined broadly to include any abuses of power, not just the passing of bribes.

03c. In practice, in the past year, no anti-corruption/good governance NGO activists working on corruption issues have been killed.

Yes | No

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

Yes: A YES score is earned if there were no documented cases of NGO activists being killed because of their work covering corruption in the specific study period. YES is a positive score.

No: A NO score is earned if there were any documented cases during the study period where a person was killed related to a corruption trial, scandal or investigation. The relationship between a mysterious death and an individual's history may not be clear, however the burden of proof here is low. If it is reasonable that a person was killed in relation to his or her work on corruption issues, then the indicator is scored as a NO. Corruption is defined broadly to include any abuses of power, not just the passing of bribes.

4. Can citizens organize into trade unions?

100

04a. In law, citizens have a right to organize into trade unions.

Yes | No

References:

Romanian Constitution, Article 40 (1).

Available link: http://www.cdep.ro/pls/dic/site_page?id=339

Yes: A YES score is earned when trade unions are allowed by law, regardless of political ideology, religion or objectives. Groups with a history of violence or terrorism (within last ten years) may be banned. Groups sympathetic to or related to banned groups must be allowed if they have no history of violence.

No: A NO score is earned when any single non-violent trade union is legally prohibited by the government from organizing.

04b. In practice, citizens are able to organize into trade unions.

100 | 75 | 50 | 25 | 0

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

100: Trade unions are common and are an important part of the political process and political discourse. Trade union organizers have widely understood rights. Trade unions are free from intimidation or violence.

75:

50: Trade unions exist, but are not always relevant to politics or policy debates. Barriers to organizing trade unions exist, such as intimidation at work, or retribution firings. Trade union organizers have some rights, but these may not be commonly known, or are difficult to defend.

25:

0: Trade unions are rare. Significant barriers to organization exist, including direct violence. Rights of union organizers are not widely known, or are ineffective in protecting organizers.

1.2. Media's Ability to Report on Corruption

5. Are media and free speech protected?

100

05a. In law, freedom of the media is guaranteed.

Yes | No

Comments:

In October 2010, a new Law of Mass Media was rejected, as it was actually trying to limit the freedom of the media. At the present moment, there is no such law in Romania and the guarantees in the Constitution seem to be efficient.

References:

Romanian Constitution, Article 30 (1), (2).

Available link: <http://www.cdep.ro/pls/dic/site.page?id=339>

Yes: A YES score is earned if freedom of the press is guaranteed in law, including to all political parties, religions, and ideologies.

No: A NO score is earned if any specific publication relating to government affairs is legally banned, or any general topic is prohibited from publication. Specific restrictions on media regarding privacy or slander are allowed, but not if these amount to legal censorship of a general topic, such as corruption or defense. A NO score is earned if non-government media is prohibited or restricted.

05b. In law, freedom of speech is guaranteed.

Yes | No

References:

Romanian Constitution, Article 30.

Available link: <http://www.cdep.ro/pls/dic/site.page?id=339>

Yes: A YES score is earned if freedom of individual speech is guaranteed in law, including to all political parties, religions, and ideologies.

No: A NO score is earned if any individual speech is legally prohibited, regardless of topic. Specific exceptions for speech linked with a criminal act, such as a prohibition on death threats, are allowed. However, any non-specific prohibition earns a NO score.

6. Are citizens able to form print media entities?

94

06a. In practice, the government does not create barriers to form a print media entity.

100 | 75 | 50 | 25 | 0

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

100: Print media entities can freely organize with little to no interaction with the government. This score may still be earned if groups or individuals with a history of political violence or terrorism (within last ten years) are banned from forming media entities.

75:

50: Formation of print media groups is possible, though there is some burden on the media group including overly complicated registration or licensing requirements. Some unofficial barriers, such as harassment of minority groups, may occur.

25:

0: Print media groups are effectively prohibited, either by official requirements or by unofficial means, such as intimidation or fear.

06b. In law, where a print media license is necessary, there is an appeals mechanism if a license is denied or revoked.

Yes | No

Comments:

In Romania, one does not need a license for print media. The Law of Media referring to this was rejected in October 2010.

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

Yes: A YES score is earned if there is, in law or in accompanying regulations, a formal process to appeal a denied print media license, including through the courts. A YES score is also earned if no print license is necessary.

No: A NO score is earned if there is no appeal process for print media licenses.

06c. In practice, where necessary, citizens can obtain a print media license within a reasonable time period.

100 | 75 | 50 | 25 | 0

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

100: Licenses are not required or licenses can be obtained within two months.

75:

50: Licensing is required and takes more than two months. Some groups may be delayed up to six months.

25:

0: Licensing takes close to or more than one year for most groups.

06d. In practice, where necessary, citizens can obtain a print media license at a reasonable cost.

100 | 75 | 50 | 25 | 0

Comments:

Print media entities have to deal with the same bureaucratic procedures as any other business. This means that, besides legal fees which are around \$320, one must spend a lot of time in order to visit a number of public offices. There is no online registration available.

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

100: Licenses are not required or can be obtained at minimal cost to the organization. Licenses can be obtained on-line or through the mail.

75:

50: Licenses are required, and impose a financial burden on the organization. Licenses may require a visit to a specific office, such as a regional or national capital.

25:

0: Licenses are required, and impose a major financial burden on the organization. Licensing costs are prohibitive to the organization.

7. Are citizens able to form broadcast (radio and TV) media entities?

75

07a. In practice, the government does not create barriers to form a broadcast (radio and TV) media entity.

100 | 75 | 50 | 25 | 0

Comments:

Radio and TV entities have to acquire a license and bandwidth through a process that can be expensive and not always transparent.

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

100: Broadcast media entities can freely organize with little to no interaction with the government. Media groups have equal access to broadcast bandwidth through a reasonably fair distribution system. This score may still be earned if groups or individuals with a history of political violence or terrorism (within last ten years) are banned from forming media entities.

75:

50: Formation of broadcast media groups is possible, though there is some burden on the media group including overly complicated registration or licensing requirements. Some unofficial barriers, such as harassment of minority groups, may occur. Division of broadcast bandwidth is widely viewed to be somewhat unfair.

25:

0: Broadcast media groups are effectively prohibited, either by official requirements or by unofficial means, such as intimidation or fear. This score is appropriate if the division of broadcast bandwidth is widely viewed to be used as a political tool.

07b. In law, where a broadcast (radio and TV) media license is necessary, there is an appeals mechanism if a license is denied or revoked.

Yes | No

References:

Law No.504/2002, Article 15 (7), provides the appeal mechanism used in a Court of Law.
Available link: http://www.cdep.ro/pls/legis/legis_pck.htm_act_text?id=36987

Yes: A YES score is earned if there is, in law or in accompanying regulations, a formal process to appeal a denied broadcast media license, including through the courts. A YES score is also earned if no broadcast license is necessary.

No: A NO score is earned if there is no appeal process for broadcast media licenses.

07c. In practice, where necessary, citizens can obtain a broadcast (radio and TV) media license within a reasonable time period.

100 | 75 | 50 | 25 | 0

Comments:

In practice, although obtaining a broadcast media license takes a reasonable period of time, according to a set of criteria, the final decision in granting the license seems to be arbitrary and the delay of the decision can have negative consequences on the business.

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

100: Licenses are not required or licenses can be obtained within two months.

75:

50: Licensing is required and takes more than two months. Some groups may be delayed up to six months.

25:

0: Licensing takes close to or more than one year for most groups.

07d. In practice, where necessary, citizens can obtain a broadcast (radio and TV) media license at a reasonable cost.

100 | 75 | 50 | 25 | 0

Comments:

Licenses are required and can be obtained through a bureaucratic procedure. There is no online availability of the process.

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

100: Licenses are not required or can be obtained at minimal cost to the organization. Licenses can be obtained on-line or through the mail.

75:

50: Licenses are required, and impose a financial burden on the organization. Licenses may require a visit to a specific office, such as a regional or national capital.

25:

0: Licenses are required, and impose a major financial burden on the organization. Licensing costs are prohibitive to the organization.

8. Can citizens freely use the Internet?

100

08a. In practice, the government does not prevent citizens from accessing content published on-line.

100 | 75 | 50 | 25 | 0

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

100: The government does not prevent Internet users from accessing online content. While some forms of content may be illegal to download or own (such as child pornography), the government does not manipulate networks to prevent access to this information. This indicator addresses direct government intervention in the transfer of information, not indirect deterrents such as intimidation, surveillance or technical difficulties in countries with poor infrastructure.

75:

50: Internet users are prevented by the government from reaching online content in some cases. Government tactics may include firewalls preventing access to networks in other countries, or manipulating search engine results to exclude politically sensitive topics.

25:

0: Internet users are routinely prevented from accessing online content. Government restrictions are in place at all times for certain topics. Government tactics may include firewalls preventing access to networks in other countries, or manipulating search engine results to exclude politically sensitive topics.

08b. In practice, the government does not censor citizens creating content on-line.

100 | 75 | 50 | 25 | 0

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

100: The government never removes online information or disables servers due to their political content. All political speech is protected with limited exceptions, such as legitimate intellectual property restrictions; direct calls to violence; or pornography.

75:

50: In some cases, the government restricts political speech by its citizens on the Internet. This is accomplished either directly by controlling servers hosting restricted content, or indirectly through threats or intimidation against the persons posting political content.

25:

0: The government regularly restricts political speech by its citizens on the Internet. This is accomplished either directly by controlling servers hosting the restricted content, or indirectly through threats or intimidation against the persons posting political content.

9. Are the media able to report on corruption?

09a. In law, it is legal to report accurate news even if it damages the reputation of a public figure.

Yes | No

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

Yes: A YES score is earned if it is legal to report accurate information on public figures regardless of damage to their reputations. Public figures are defined broadly, including anyone in a position of responsibility in the government or civil service; any political leader; leaders of civil society groups including religious groups, trade unions, or NGOs; leaders or officers of large businesses. A YES score can still be earned if a reckless disregard for the truth (i.e. slander) is prohibited.

No: A NO score is earned if privacy laws protect any public figures (as defined in the YES coding) from accurate information.

09b. In practice, the government or media owners/distribution groups do not encourage self-censorship of corruption-related stories.

100 | 75 | 50 | 25 | 0

Comments:

There are media ownership/distribution groups that tend to manipulate the information and create an artificial public opinion by showing a distorted point of view and inviting only certain public people to comment on current affairs.

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

100: The government, its proxies, or media ownership/distribution groups make no attempt to restrict media coverage of corruption-related issues through unofficial means.

75:

50: The government, its proxies, or media ownership/distribution groups make some attempts to restrict media coverage of corruption-related issues through unofficial means, such as restricting access by disfavored media outlets, or other short-term consequences. Violent reprisals against media outlets are rare.

25:

0: The government, its proxies, or media ownership/distribution groups actively use illegal methods to restrict reporting of corruption-related issues. This may include harassment, arrests, and threats. Journalists and publishers take a personal risk to report on corruption, and media outlets who commonly report on corruption face long-term consequences or violent reprisals.

09c. In practice, there is no prior government restraint (pre-publication censoring) on publishing corruption-related stories.

100 | 75 | 50 | 25 | 0

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

100: The government never prevents publication of controversial corruption-related materials.

75:

50: The government prevents publication of controversial corruption-related material in cases where there is a strong political incentive to suppress the information. This score is appropriate if in countries where illiteracy is high, the government may allow a free print press but censor broadcast media.

25:

0: The government regularly censors material prior to publication, especially politically sensitive or damaging corruption-related material. This score is appropriate even if the government restricts only politically damaging news while allowing favorable coverage.

10. Are the media credible sources of information?

75

10a. In law, print media companies are required to publicly disclose their ownership.

Yes | No

Comments:

The ownership is publicly disclosed in the National Trade Register Office, according to the general laws applicable to all companies. The visibility is assured only for prima-facie companies holding shares in a media group; the real owners, second- or third-tier owners, especially individuals, may be hard to identify, particularly in the case of off-shore companies used as intermediaries.

References:

Law No. 26/1991 regarding the National Trade Register Office.

Law No. 31/1991 regarding business companies.

Available link: <http://www.onrc.ro/english/recom.php#jur>

Yes: A YES score is earned if print media companies are required by law to publicly disclose all owners of the company.

No: A NO score is earned if there is no such requirement or if the requirement is optional, only partially applicable, or exempts certain types of entities or agents from being publicly disclosed.

10b. In law, broadcast (radio and TV) media companies are required to publicly disclose their ownership.

Yes | No

Comments:

The ownership is publicly disclosed in the National Trade Register Office, according to the general laws applicable to all companies. The visibility is assured only for prima-facie companies holding shares in a media group; the real owners, second- or third-tier owners, especially individuals, may be hard to identify, particularly in the case of off-shore companies used as intermediaries. In addition, the Law of Broadcast Media (504/2002) regarding cross-ownership and concentration on the electronic media market, implies ownership must be known to the Regulatory Council.

References:

Law No. 26/1991 regarding the National Trade Register Office.

Law No. 31/1991 regarding business companies.

Available link: <http://www.onrc.ro/english/recom.php#jur>

Yes: A YES score is earned if broadcast media companies are required by law to publicly disclose all owners of the company.

No: A NO score is earned if there is no such requirement or if the requirement is optional, only partially applicable, or exempts certain types of entities or agents from being publicly disclosed.

10c. In practice, journalists and editors adhere to strict, professional practices in their reporting.

100 | 75 | 50 | 25 | 0

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

100: Editors and journalists at the major media outlets abide by a strict journalistic code of conduct and are unwilling to alter their coverage of a particular issue, event or person in exchange for money, gifts, or other favors or remuneration.

75:

50: Editors and journalists at the major media outlets generally avoid altering coverage in exchange for favors but some exceptions have been noted. Not all newsrooms abide by a formal journalistic code of conduct.

25:

0: Editors and journalists are widely known to "sell" favorable or unfavorable coverage in exchange for money, gifts, or other remuneration. The major media outlets do not abide by any formal journalistic code of conduct.

10d. In practice, during the most recent election, political parties or independent candidates received fair media coverage.

100 | 75 | 50 | 25 | 0

Comments:

Because print media are in decline, due to the economic crisis and the advance of the Internet, most political commentary has shifted to electronic channels. Here the problem is twofold: the public national TV and radio continue to be subdued and politicized in their corporate governance and the primary private TV channels and some radio stations are stridently biased in their news coverage.

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

100: All political parties and independent candidates have some access to media outlets. Individual media outlets may have biases, but on balance, the national media coverage reflects the interests of the electorate. Media groups generally act as disinterested parties in an election. In places where a government is popular with the public, opposition viewpoints can access the public via media outlets.

75:

50: Major popular media outlets have a persistent bias regarding some parties or independent candidates. Some major parties may be partially excluded from media coverage, or draw more negative coverage. Media sectors may have distinct biases, such as newspapers favoring one party, while radio favors another.

25:

0: The mass media, on balance, have clear preferences in election outcomes and coverage is driven to achieve these goals. Some major parties or independent candidates are excluded or consistently negatively portrayed by mass media. Dissenting political opinions are only found on fringe or elite media outlets, such as Web sites.

10e. In practice, political parties and candidates have equitable access to state-owned media outlets.

100 | 75 | 50 | 25 | 0

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

100: The government ensures that equal access and fair treatment of election contestants is provided by all state-owned media outlets, including all electronic and print media. This obligation extends to news reports, editorial comment, and all other content. All parties and candidates are offered consistent and equivalent rates for campaign advertising on state-owned media outlets.

75:

50: The government generally ensures equal access and fair treatment of all candidates and parties by state-owned media outlets but some exceptions exist. State-owned media may occasionally discriminate against particular parties or candidates and advertising rates may be confusing or non-transparent.

25:

0: The government uses state-owned media to routinely discriminate against opposition candidates and parties. Advertising space may be denied to opposition candidates and parties or higher rates may be charged.

11. Are journalists safe when investigating corruption?

100

11a. In practice, in the past year, no journalists investigating corruption have been imprisoned.

Yes | No

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

Yes: A YES score is earned if there were no journalists imprisoned related to work covering corruption during the study period. A YES score is positive.

No: A NO score is earned if any journalist was jailed because of his/her work covering corruption during the study period. The causal relationship between the official charges and the journalist's work may not be explicit, however the burden of proof here is low. If it seems likely that the journalist was imprisoned due to his or her work, then the indicator is scored as a NO. Corruption is defined broadly to include any abuses of power, not just the passing of bribes. "Imprisoned" is defined here as detention by the government lasting more than 24 hours.

11b. In practice, in the past year, no journalists investigating corruption have been physically harmed.

Yes | No

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

Yes: A YES score is earned if there were no documented cases of journalists being assaulted during the specific study period for their work covering corruption issues. A YES score is positive.

No: A NO score is earned if there were any documented cases of assault to a journalist covering corruption during the study period. Corruption is defined broadly to include any abuses of power, not just the passing of bribes.

11c. In practice, in the past year, no journalists investigating corruption have been killed.

Yes | No

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

Yes: A YES score is earned if there were no documented cases of journalists being killed because of their work covering corruption-related issues during the study period. A YES score is positive.

No: A NO score is earned if there were any documented cases where a journalist was killed in relation to his or her work covering corruption-related issues in the study period. The relationship between a mysterious death and an individual's work may not be clear, however the burden of proof here is low. If it is a reasonable guess that a person was killed in relation to his or her work on corruption issues, then the indicator is scored as a NO. Corruption is defined broadly to include any abuses of power, not just the passing of bribes.

90
1.3. Public Requests for Government Information

12. Do citizens have a legal right to request information?

67

12a. In law, citizens have a right to request government information and basic government records.

Yes | No

References:

Constitutional guarantees: Romanian Constitution, Article 31(1-3).
Available link: http://www.cdep.ro/pls/dic/site_page?id=339

Law No. 544/2001 regarding free access to information of public interest.
Available link: http://www.cdep.ro/pls/legis/legis_pck.http_act_text?dt=30060

Law No. 52/2003 regarding the transparency of the decision-making process in public administration.
Available link: <http://www.stiriong.ro/documente/285.html>

Yes: A YES score is earned if there is a formal right to request government documents, including constitutional guarantees. Exceptions can be made for national security reasons or individual privacy, but they should be limited in scope. All other government documents should be available upon a public request.

No: A NO score is earned if there is no such right.

12b. In law, citizens have a right of appeal if a request for a basic government record is denied.

Yes | No

References:

Romanian Constitution, Article 51(4) regarding the right to petition.
Available link: http://www.cdep.ro/pls/dic/site_page?id=339

Law No. 544/2001 regarding free access to information of public interest.
Available link: http://www.cdep.ro/pls/legis/legis_pck.htm_act_text?id=30060

Law No. 52/2003 regarding the transparency of the decision-making process in public administration.
Available link: <http://www.stirion.ro/documente/285.html>

Yes: A YES score is earned if there is a formal process of appeal for rejected information requests. A YES score can still be earned if the appeals process involves redress through the courts rather than administrative appeal.

No: A NO score is earned if there is no such formal process.

12c. In law, there is an established institutional mechanism through which citizens can request government records.

Yes | No

References:

Laura Stefan, anti-corruption expert, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Yes: A YES score is earned if there is a formal government mechanism/institution through which citizens can access government records available under freedom of information laws. This mechanism could be a government office (or offices within agencies or ministries) or an electronic request system.

No: A NO score is earned if there is no such formal mechanism or institution.

13. Is the right to information requests effective?

50

13a. In practice, citizens receive responses to information requests within a reasonable time period.

100 | 75 | 50 | 25 | 0

Comments:

According to the law, the information should be provided in 10 working days or, alternatively, a justification should be given and the term can be extended to 30 working days. In practice, some of the public institutions or companies pretend they are not covered by the law and try to avoid or postpone the disclosure of public information as much as possible.

References:

Laura Stefan, anti-corruption expert, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

100: Records are available on-line, or records can be obtained within two weeks. Records are uniformly available; there are no delays for politically sensitive information. Legitimate exceptions are allowed for sensitive national security-related information.

75:

50: Records take around one to two months to obtain. Some additional delays may be experienced. Politically-sensitive information may be withheld without sufficient justification.

25:

0: Records take more than four months to acquire. In some cases, most records may be available sooner, but there may be persistent delays in obtaining politically sensitive records. National security exemptions may be abused to avoid disclosure of government information.

13b. In practice, citizens can use the information request mechanism at a reasonable cost.

100 | 75 | 50 | 25 | 0

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

100: Records are free to all citizens, or available for the cost of photocopying. Records can be obtained at little cost, such as by mail, or on-line.

75:

50: Records impose a financial burden on citizens, journalists or NGOs. Retrieving records may require a visit to a specific office, such as a regional or national capital.

25:

0: Retrieving records imposes a major financial burden on citizens. Records costs are prohibitive to most citizens, journalists, or NGOs trying to access this information.

13c. In practice, responses to information requests are of high quality.

100 | 75 | 50 | 25 | 0

Comments:

The quality of the information depends on the institution summoned to answer the request and the way the request is written (asking for detailed information or not). Usually, sensitive information is not disclosed upon the first request and journalists are more likely to be successful in these attempts than ordinary citizens.

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

100: Responses to information requests typically address the requestor's questions in full and are not redacted or edited to remove sensitive information.

75:

50: Information requests are sometimes met with sufficient responses, but responses to information requests may be vague or overly general when sensitive information is sought.

25:

0: The government rarely or never replies to information requests with meaningful responses. If and when responses are issued, they are so overly general or heavily redacted as to render them useless.

13d. In practice, citizens can resolve appeals to information requests within a reasonable time period.

100 | 75 | 50 | 25 | 0

Comments:

The bureaucratic process is meant to discourage the request for public information and the time period for resolving appeals to information requests is not always reasonable.

References:

Laura Stefan, anti-corruption expert, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

100: The agency/entity acts on appeals quickly. While some backlog is expected and inevitable, appeals are acknowledged promptly and cases move steadily towards resolution.

75:

50: The agency/entity acts on appeals quickly but with some exceptions. Some appeals may not be acknowledged, and simple issues may take more than two months to resolve.

25:

0: The agency/entity does not resolve appeals in a timely fashion quickly. Appeals may be unacknowledged for many months and simple issues may take more than three months to resolve.

13e. In practice, citizens can resolve appeals to information requests at a reasonable cost.

100 | 75 | 50 | 25 | 0

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

100: In most cases, the appeals mechanism is an affordable option to middle class citizens seeking to challenge an access to information determination.

75:

50: In some cases, the appeals mechanism is not an affordable option to middle class citizens seeking to challenge an access to information determination.

25:

0: The prohibitive cost of utilizing the access to information appeals mechanism prevents middle class citizens from challenging access to information determinations.

13f. In practice, the government gives reasons for denying an information request.

Comments:

This problem is especially encountered with state-owned companies and some special agencies, which use their relative management autonomy as a pretext to be less transparent than the rest of the public sectors. In such cases, which are very relevant in terms of the volume of public resources concerned, silence or procrastination is usually the answer, instead of reasonable arguments as to why the management thinks the transparency law is not applicable in their case.

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

100: The government always discloses to the requestor the specific, formal reasons for denying information requests.

75:

50: The government usually discloses reasons for denying an information request to the requestor, with some exceptions. The reasons may be vague or difficult to obtain.

25:

0: The government does not regularly give reasons for denying an information request to the requestor.

Category 2. Elections

2.1. ⁸¹Voting and Party Formation

14. Is there a legal framework guaranteeing the right to vote?

100

14a. In law, universal and equal adult suffrage is guaranteed to all citizens.

Yes | No

References:

Romanian Constitution, Article 36.

Available link: http://www.cdep.ro/pls/dic/site_page?id=339

Yes: A YES score is earned if the right to vote is guaranteed to all citizens of the country (basic age limitations are allowed). A YES score can still be earned if voting procedures are, in practice, inconvenient or unfair.

No: A NO score is earned if suffrage is denied by law to any group of adult citizens for any reason. Citizen is defined broadly, to include all ethnicities, or anyone born in the country. A NO score is earned if homeless or impoverished people are legally prohibited from voting.

14b. In law, there is a legal framework requiring that elections be held at regular intervals.

Yes | No

Comments:

According to the Romanian Constitution, elections are held every four years for the Parliament and local councils and every five years for the president of the Republic.

References:

Romanian Constitution, Article 63 and Article 83.

Available link: <http://www.cdep.ro/pls/dic/site.page?id=339>

Yes: A YES score is earned if there is a statutory or other framework enshrined in law that mandates elections at reasonable intervals.

No: A NO score is earned if no such framework exists.

15. Can all citizens exercise their right to vote?

92

15a. In practice, all adult citizens can vote.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption expert, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Voting is open to all citizens regardless of race, gender, prior political affiliations, physical disability, or other traditional barriers.

75:

50: Voting is often open to all citizens regardless of race, gender, prior political affiliations, physical disability, or other traditional barriers, with some exceptions.

25:

0: Voting is not available to some demographics through some form of official or unofficial pressure. Voting may be too dangerous, expensive, or difficult for many people.

15b. In practice, ballots are secret or equivalently protected.

100 | 75 | 50 | 25 | 0

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Ballots are secret, or there is a functional equivalent protection, in all cases.

75:

50: Ballots are secret, or there is a functional equivalent protection, in most cases. Some exceptions to this practice have occurred. Ballots may be subject to tampering during transport or counting.

25:

0: Ballot preferences are not secret. Ballots are routinely tampered with during transport and counting.

15c. In practice, elections are held according to a regular schedule.

100 | 75 | 50 | 25 | 0

References:

Ioana Morovan, journalist, Hotnews, October 7, 2010, Bucharest.

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

100: Elections are always held according to a regular schedule, or there is a formal democratic process for calling a new election, with deadlines for mandatory elections.

75:

50: Elections are normally held according to a regular schedule, but there have been recent exceptions. The formal process for calling a new election may be flawed or abused.

25:

0: Elections are called arbitrarily by the government. There is no functioning schedule or deadline for new elections.

16. Are citizens able to participate equally in the political process?

90

16a. In law, all citizens have a right to form political parties.

Yes | No

References:

Romanian Constitution, Article 40, regarding the right to associate.

Available link: http://www.cdep.ro/pls/dic/site_page?id=339

Law No 14/2003, regarding the political parties.

Available link: http://legislatie.resurse-pentru-democratie.org/14_2003.php

Yes: A YES score is earned if citizens have the right to form political parties without interference from government. A YES score may still be earned if groups or individuals with a history of violence or terrorism (within last ten years) are banned from forming political parties. Non-discriminatory minimal criteria (e.g. minimum age) are also allowed.

No: A NO score is earned if there are any legal or regulatory restrictions or prohibitions barring any types of political parties from being formed.

16b. In law, all citizens have a right to run for political office.

Yes | No

Comments:

The Constitution mentions reasonable age thresholds for political offices.

References:

Romanian Constitution, Article 37.

Available link: http://www.cdep.ro/pls/dic/site_page?id=339

Yes: A YES score is earned if all citizens (citizen is defined broadly, to include all ethnicities, or anyone born in the country) have the right under law to run for political office. A YES score may still be earned if individuals with a history of violence, terrorism, or criminality are banned from running for office.

No: A NO score is earned if there are any legal restrictions barring certain individuals or groups from running for political office.

16c. In practice, all citizens are able to form political parties.

100 | 75 | 50 | 25 | 0

Comments:

Registering a political party or running as an independent candidate means dealing with high administrative requirements. These conditions, although restrictive, are fairly applied.

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: While there is no guarantee of electoral success, political parties can form freely without opposition.

75:

50: Some barriers to formation are present, such as burdensome registration requirements that may not be fairly applied. Some parties' political viewpoints may draw pressure from the government, such as surveillance or intimidation. Some political parties or organizations may have extra barriers to getting on a ballot.

25:

0: Some political parties are effectively barred from forming through some manner of official or unofficial pressure. This may include threats, arrest, or violence from competing parties or other groups.

16d. In practice, all citizens can run for political office.

100 | 75 | 50 | 25 | 0

Comments:

The high administrative requirements for running as an independent candidate favors existing parties. Although restrictive, the conditions are fairly applied.

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: While there is no guarantee of electoral success, anyone can run for office under transparent and equitable guidelines. There is a formal process for access to the ballot which is fairly applied. The costs of running a campaign are reasonable and do not deter candidates from entering a race.

75:

50: Some barriers exist to getting on the ballot and bureaucratic or regulatory requirements for doing so may be unfairly applied. The costs of running a political campaign are significant and result in dissuading some candidates from running for office. A system of party lists may discourage or prevent independent candidates from running for office.

25:

0: Citizens can effectively be barred from the ballot through government abuse of official rules and/or unofficial pressure. The costs of running a campaign are extremely high and result in most average citizens being unable to run an effective campaign for office.

16e. In practice, an opposition party is represented in the legislature.

100 | 75 | 50 | 25 | 0

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: The opposition party always has some influence on the proceedings of the legislature. The opposition party can introduce legislation or bring pending matters to a vote without the consent of the ruling party.

75:

50: The opposition party has influence on the proceeding of the legislature, but it is limited in scope. The opposition's ability to force votes or publicly debate certain topics may be limited.

25:

0: The opposition party has only token participation in the legislature's proceedings and cannot advance legislation or force a debate.

2.2. Election Integrity

17. In law, is there an election monitoring agency or set of election monitoring agencies/entities?

100

17a. In law, is there an election monitoring agency or set of election monitoring agencies/entities?

Yes | No

References:

Law No. 35/2008, Articles 13-15.

Available link: http://www.cdep.ro/proiecte/2008/000/10/5/leg_pl015_08.pdf

Yes: A YES score is earned if there is a domestic agency or set of domestic agencies/entities formally assigned to ensure the integrity of the election process.

No: A NO score is earned if no domestic agency or set of domestic agencies/entities exists that monitors elections. A NO score is earned if elections are only monitored by an agency informally, such as poll booth monitoring by the police, only by international observers, or only by NGOs. A NO score is earned if the domestic election agency or set of domestic agencies simply facilitates the process of voting but is not empowered to report violations or abuses.

18. Is the election monitoring agency effective?

75

18a. In law, the agency or set of agencies/entities is protected from political interference.

Yes | No

References:

Law No. 35/2008.

Available link: http://www.cdep.ro/proiecte/2008/000/10/5/leg_pl015_08.pdf

Yes: A YES score is earned only if the agency or set of agencies/entities has some formal organizational independence from the bodies contesting in the election. A YES score is still earned even if the entity is legally separate but in practice staffed by partisans.

No: A NO score is earned if the election monitoring agency or set of agencies/entities is legally tied to bodies contesting the election (i.e. an executive branch agency such as the Interior Ministry, or a committee of the legislature). A NO score is automatically earned if there is no domestic election monitoring agency.

18b. In practice, agency (or set of agencies/entities) appointments are made that support the independence of the agency.

100 | 75 | 50 | 25 | 0

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Appointments to the agency or set of agencies/entities are made based on professional qualifications. Individuals appointed are free of conflicts of interest due to personal loyalties, family connections or other biases. Individuals appointed usually do not have clear political party affiliations.

75:

50: Appointments are usually based on professional qualifications. However, individuals appointed may have clear party loyalties.

25:

0: Appointments are often based on political considerations. Individuals appointed often have conflicts of interest due to personal loyalties, family connections or other biases. Individuals appointed often have clear party loyalties.

18c. In practice, the agency or set of agencies/entities has a professional, full-time staff.

100 | 75 | 50 | 25 | 0

Comments:

The staff is usually recruited among students, political party members or volunteers, NGOs members or even acquaintances, without having a professional background or experience in the area.

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: The agency or set of agencies/entities has staff sufficient to fulfill its basic mandate.

75:

50: The agency or set of agencies/entities has limited staff, or staff without necessary qualifications to fulfill its basic mandate.

25:

0: The agency or set of agencies/entities has no staff, or such a limited staff that is clearly unqualified to fulfill its mandate.

18d. In practice, the agency or set of agencies/entities makes timely, publicly available reports following an election cycle.

100 | 75 | 50 | 25 | 0

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Reports are released to the public on a predictable schedule, without exceptions.

75:

50: Reports are released, but may be delayed, difficult to access, or otherwise limited.

25:

0: The agency or set of agencies/entities makes no public reports, issues reports which are effectively secret, or issues reports of no value.

18e. In practice, when necessary, the agency or set of agencies/entities imposes penalties on offenders.

100 | 75 | 50 | 25 | 0

Comments:

Recently, penalties have not been imposed on offenders and the general feeling is that the agency does not act against fraud too eagerly.

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: When rules violations are discovered, the agency or set of agencies/entities is aggressive in penalizing offenders and/or in cooperating with other agencies in penalizing offenders.

75:

50: The agency or set of agencies/entities enforces rules, but is limited in its effectiveness. The agency may be slow to act, unwilling to take on politically powerful offenders, reluctant to cooperate with other agencies, or occasionally unable to enforce its judgments.

25:

0: The agency or set of agencies/entities does not effectively penalize offenders and/or cooperate with other agencies in penalizing offenders. The agency may make judgments but not enforce them, or may fail to make reasonable judgments against offenders. The agency may be partisan in its application of power.

19. Are elections systems transparent and effective?

88

19a. In practice, there is a clear and transparent system of voter registration.

100 | 75 | 50 | 25 | 0

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: There is a transparent system of voter registration that provides voters with sufficient time to understand their rights, check the accuracy of their registration, and ensure that errors are corrected before they vote.

75:

50: There is a transparent voter registration system that provides voters with sufficient time to understand their rights, check the accuracy of their registration, and ensure that errors are corrected before they vote but there are some problems. Voters may have not access to registration lists with sufficient time to correct errors before voting or registration lists may at times be inaccessible.

25:

0: The system of voter registration is incomplete or does not exist. Government may routinely falsify registration lists to affect voting patterns and limit access to the polls. Double voting and "ghost" voting by non-existent voters is common.

19b. In law, election results can be contested through the judicial system.

Yes | No

References:

Law No.35/2008.

Available link: http://www.cdep.ro/proiecte/2008/000/10/5/leg_pl015_08.pdf

Yes: A YES score is earned if citizens or political parties can challenge allegedly fraudulent election results through the courts or other judicial mechanisms.

No: A NO score is earned if there is no legal right for citizens or political parties to challenge allegedly fraudulent election results in the courts or other judicial mechanisms.

19c. In practice, election results can be effectively appealed through the judicial system.

100 | 75 | 50 | 25 | 0

Comments:

The mechanism does exist, but it is usually slow and does not solve complaints expeditiously.

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: The electoral appeals mechanism takes cases from both candidates complaining of flaws in the electoral process as well as citizens bringing complaints related to denial of suffrage or registration errors. There is an expedited process for resolving such complaints to avoid delaying a timely announcement of electoral results.

75:

50: The electoral appeals mechanism takes complaints from both candidates and voters but may not always act on complaints promptly. The appeals mechanism may be abused at times by parties or candidates seeking to delay the announcement of electoral results.

25:

0: The electoral appeals mechanism rarely or never acts on complaints brought by candidates or citizens. Citizens may not be able to bring complaints related to denial of suffrage or voter registration errors.

19d. In practice, the military and security forces remain neutral during elections.

100 | 75 | 50 | 25 | 0

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: The military, military officers, and other security forces refrain from overtly supporting or opposing political candidates or commenting on elections. The military or security forces refrain from physically interfering with political campaigns, rallies, or voting.

75:

50: The military, military officers, and security forces may be known to unofficially support or oppose particular candidates or parties. The military or security forces generally refrain from the use of force to support or oppose particular candidates or parties but there are exceptions.

25:

0: The military or other security forces are an active and explicit player in politics and overly support or oppose particular candidates or parties. The military or security forces routinely exercise the use of force to support or oppose parties or candidates.

19e. In law, domestic and international election observers are allowed to monitor elections.

Yes | No

References:

Law No. 35/2008.

Available link: http://www.cdep.ro/proiecte/2008/000/10/5/leg_pl015_08.pdf

Yes: A YES score is earned if domestic and international election observers are allowed to monitor the electoral process.

No: A NO score is earned if there are any legal or regulatory prohibitions on the monitoring of the electoral process by domestic or international election observers.

19f. In practice, election observers are able to effectively monitor elections.

100 | 75 | 50 | 25 | 0

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Election observers have unfettered access to polling sites, counting stations, and voters themselves. The government does not interfere with the observers' activities.

75:

50: Election observers generally have access to polling sites, counting stations, and voters but encounter restrictions in certain areas. The government may impose burdensome regulatory or bureaucratic requirements on observers to discourage their involvement.

25:

0: Election observers' movements are significantly limited by the government and many polling and counting sites are restricted or barred from observers. The government imposes so many bureaucratic or regulatory burdens on the observers that their mission is rendered ineffective.

88
2.3. Political Financing Transparency

20. Are there regulations governing the financing of political parties?

100

20a. In law, there are limits on individual donations to political parties.

Yes | No

References:

Law No. 334/17, July 2006, regarding the financing of political parties and electoral campaigns.

Available link: http://www.cdep.ro/pls/legis/legis_pck.http_act_text?id=74251

Yes: A YES score is earned if there are any limits in size on individual contributions to political parties. A YES score is also earned if individual contributions are prohibited.

No: A NO score is earned if there are no limits on contributions from individuals. A NO score is also earned if limits are applied by the government on opposition parties in a discriminatory manner.

20b. In law, there are limits on corporate donations to political parties.

Yes | No

References:

Law No. 334/17, July 2006, regarding the financing of political parties and electoral campaigns.

Available link: http://www.cdep.ro/pls/legis/legis_pck.htm_act_text?id=74251

Yes: A YES score is earned if there are any limits in size on corporate contributions to political parties. A YES score is earned if corporate contributions are prohibited.

No: A NO score is earned if there are no limits on corporate contributions to political parties. A NO score is also earned if limits are applied by the government on opposition parties in a discriminatory manner.

20c. In law, there are limits on total political party expenditures.

Yes | No

References:

Law No. 334/7, July 2006, regarding the financing of political parties and electoral campaigns, Article 30.

Available link: http://www.cdep.ro/pls/legis/legis_pck.htm_act_text?id=74251

Yes: A YES score is earned if there are any limits in size on political party expenditures during the course of an election.

No: A NO score is earned if there are no limits on political party expenditures during an election. A NO score is also earned if limits are applied by the government on opposition parties in a discriminatory manner.

20d. In law, there are requirements for the disclosure of donations to political parties.

Yes | No

References:

Law No. 334/17, July 2006, regarding the financing of political parties and electoral campaigns.

Available link: http://www.cdep.ro/pls/legis/legis_pck.htm_act_text?id=74251

Yes: A YES score is earned if there are any requirements mandating the disclosure of financial contributions to political parties.

No: A NO score is earned if there are no requirements mandating the disclosure of contributions to political parties, existing regulations do not require a donor's name or amount given, or the regulations allow for anonymous donations. Systems where only certain donation amounts are required to be made public (above a non-trivial amount) also earn a NO score.

20e. In law, there are requirements for the independent auditing of the finances and expenditures of political parties when financial irregularities are uncovered.

Yes | No

Comments:

The audit is performed by the official public auditor.

References:

Law No. 334/17, July 2006, regarding the financing of political parties and electoral campaigns.

Available link: http://www.cdep.ro/pls/legis/legis_pck.htm_act_text?id=74251

Yes: A YES score is earned if there is a legal or regulatory requirement for the independent auditing of party finances and expenditures when irregularities are uncovered. The auditing is performed by an impartial third-party.

No: A NO score is earned if there are no legal or regulatory requirements for the independent auditing of political parties' finances and expenditures when financial irregularities are uncovered. A NO score is also earned if such requirements exist but allow for parties to self-audit.

20f. In law, there is an agency or entity that monitors the financing of political parties.

Yes | No

Comments:

The monitoring agency is the Romanian Court of Accounts.

References:

Law No. 334/17, July 2006, regarding the financing of political parties and electoral campaigns.

Available link: http://www.cdep.ro/pls/legis/legis_pck.htm_act_text?id=74251

Yes: A YES score is earned if there is a domestic agency or set of domestic agencies/entities formally assigned to monitor and enforce laws and regulations around the financing of political parties. A YES score is earned even if the agency/entity is ineffective in practice.

No: A NO score is earned if there is no such agency or entity. A NO score is also earned if this monitoring is solely carried out by the media and non-governmental organizations.

21. Are there regulations governing the financing of individual political candidates?

100

21a. In law, there are limits on individual donations to political candidates.

Yes | No

References:

Law No. 334/17, July 2006, regarding the financing of political parties and electoral campaigns.

Available link: http://www.cdep.ro/pls/legis/legis_pck.htm_act_text?id=74251

Yes: A YES score is earned if there are any limits in size on individual contributions to political candidates. A YES score is also earned if individual contributions are prohibited.

No: A NO score is earned if there are no limits on contributions from individuals. A NO score is also earned if limits are applied by the government on opposition candidates in a discriminatory manner.

21b. In law, there are limits on corporate donations to individual political candidates.

Yes | No

References:

Law No. 334/17, July 2006, regarding the financing of political parties and electoral campaigns.

Available link: http://www.cdep.ro/pls/legis/legis_pck.htm_act_text?id=74251

Yes: A YES score is earned if there are any limits in size on corporate contributions to individual political candidates. A YES score is earned if corporate contributions are prohibited.

No: A NO score is earned if there are no limits on corporate contributions to individual political candidates. A NO score is also earned if limits are applied by the government on opposition candidates in a discriminatory manner.

21c. In law, there are requirements for the disclosure of donations to individual political candidates.

Yes | No

References:

Law No. 334/17, July 2006, regarding the financing of political parties and electoral campaigns.

Available link: http://www.cdep.ro/pls/legis/legis_pck.htm_act_text?id=74251

Yes: A YES score is earned if there are any requirements mandating the disclosure of financial contributions to individual political candidates.

No: A NO score is earned if there are no requirements mandating the disclosure of contributions to individual political candidates, existing regulations do not require a donor's name or amount given, or the regulations allow for anonymous donations. Systems where only certain donation amounts are required to be made public (above a non-trivial amount) also earn a NO score.

21d. In law, there are requirements for the independent auditing of the campaign finances of individual political candidates when irregularities are uncovered.

Yes | No

References:

Law No. 334/17, July 2006, regarding the financing of political parties and electoral campaigns.

Available link: http://www.cdep.ro/pls/legis/legis_pck.htm_act_text?id=74251

Yes: A YES score is earned if there is a legal or regulatory requirement for the independent auditing of an individual candidate's campaign finances and expenditures when financial irregularities are uncovered. The auditing is performed by an impartial third-party.

No: A NO score is earned if there are no legal or regulatory requirements for the independent auditing of an individual candidate's campaign finances and expenditures when financial irregularities are uncovered. A NO score is also earned if such requirements exist but allow for candidates to self-audit.

21e. In law, there is an agency or entity that monitors the financing of individual political candidates' campaigns.

Yes | No

Comments:

The monitoring agency is the Romanian Court of Accounts.

References:

Law No. 334/17, July 2006, regarding the financing of political parties and electoral campaigns.

Available link: http://www.cdep.ro/pls/legis/legis_pck.htm_act_text?dt=74251

Yes: A YES score is earned if there is a domestic agency or set of domestic agencies/entities formally assigned to monitor and enforce laws and regulations around the financing of individual political candidates' campaigns. A YES score is earned even if the agency/entity is ineffective in practice.

No: A NO score is earned if there is no such agency or entity. A NO score is also earned if this monitoring is solely carried out by the media and non-governmental organizations.

22. Are the regulations governing the political financing of parties effective?

33

22a. In practice, the limits on individual donations to political parties are effective in regulating an individual's ability to financially support a political party.

100 | 75 | 50 | 25 | 0

Comments:

The Electoral Authority has the tools and prerogatives to regulate the financing of political parties. In practice, it hasn't applied any procedure for controlling party expenditures, hasn't been a strong institution and complies only with collecting self-reports from party treasurers.

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Existing limits represent the full extent to which an individual can directly or indirectly financially support a political party. Limits are reasonably low enough in the context of the total costs of running a campaign.

75:

50: Existing limits generally represent the full extent to which an individual can directly or indirectly financially support a political party. However, exceptions and loopholes exist through which individuals can indirectly support political parties above and beyond those formal limitations. Such loopholes could include making donations to third-party groups that advocate on behalf of (or against) a particular party; unregulated loans to parties (rather than direct donations); or in-kind support that is not explicitly regulated by laws or regulations. The limits may be too high in the context of the overall costs of running a campaign.

25:

0: Existing limits are routinely bypassed or willfully ignored. The vast majority of individual contributions to a political party are made outside of the formal limitation system. There is no enforcement of violations. Limits are so high that they are meaningless in the context of the overall costs of running a campaign.

22b. In practice, the limits on corporate donations to political parties are effective in regulating a company's ability to financially support a political party.

Comments:

In practice, the existing limits are many times exceeded, the network of corporate funding being very hard to track down. In theory the limitations do exist, but the enforcing mechanisms are very ineffective. In practice there has never been a case of punishment applied in the last two decades, although most parties exceed the funding limits most of the time.

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Existing limits represent the full extent to which a company can directly or indirectly financially support a political party. Limits are reasonably low enough in the context of the total costs of running a campaign to be meaningful.

75:

50: Existing limits generally represent the full extent to which a company can directly or indirectly financially support a political party. However, exceptions and loopholes exist through which companies can indirectly support political parties above and beyond those formal limitations. Such loopholes could include making donations to third-party groups that advocate on behalf of (or against) a particular party; unregulated loans to parties (rather than direct donations); or in-kind support that is not explicitly regulated by laws or regulations. The limits may be too high in the context of the overall costs of running a campaign.

25:

0: Existing limits are routinely bypassed or willfully ignored. The majority of corporate contributions to political parties are made outside of the formal limitation system. There is no enforcement of violations. Limits are so high that they are meaningless in the context of the overall costs of running a campaign.

22c. In practice, the limits on total party expenditures are effective in regulating a political party's ability to fund campaigns or politically-related activities.

Comments:

The existing limits generally do not represent the full extent to which a political party can finance its activities. Control of their funding is purely formal and the Electoral Authority only collects self-reports from party treasurers.

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Existing limits represent the full extent to which political parties are able to finance their activities. Limits are reasonably low enough in the context of the total costs of running a party to be meaningful.

75:

50: Existing limits generally represent the full extent to which a political party can finance its activities. However, exceptions and loopholes exist through which parties can generate revenue or finance their activities beyond the scope of existing regulations. Such loopholes could include taking loans that are outside of the scope of regulations covering direct donations; links to revenue-generating business activities that are beyond the scope of electoral or campaign-related regulations; or accepting in-kind support that is not explicitly regulated by laws or regulations. The limits may be too high in the context of the overall costs of running a party.

25:

0: Existing limits are routinely bypassed or willfully ignored. The majority of expenditures are made outside of the formal limitation system. Limits are so high that they are meaningless in the context of the overall costs of running a party.

22d. In practice, when necessary, an agency or entity monitoring the financing of political parties independently initiates investigations.

100 | 75 | 50 | 25 | 0

Comments:

The Electoral Authority has never initiated independent investigations regarding the financing of political parties. Usually, additional information is presented in the media by journalists.

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: The agency or entity aggressively starts investigations into allegations of wrong doing with respect to the financing of political parties, or cooperates well with other agencies that do. The agency is fair in its application of this power.

75:

50: The agency or entity will start investigations, but often relies on external pressure to set priorities, has limited effectiveness when investigating, or is reluctant to cooperate with other agencies in politically sensitive cases. The agency, though limited in effectiveness, is still fair in its application of power.

25:

0: The agency or entity rarely investigates on its own, is uncooperative with other agencies, or the agency or entity is partisan in its application of this power.

22e. In practice, when necessary, an agency or entity monitoring the financing of political parties imposes penalties on offenders.

100 | 75 | 50 | 25 | 0

Comments:

In practice, an investigation has never ended with penalties, but the Electoral Authority has the prerogatives to impose penalties on offenders.

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: When rules violations are discovered, the agency or entity is aggressive in penalizing offenders or cooperates well with other agencies that impose penalties.

75:

50: The agency or entity enforces rules, but is limited in its effectiveness. The agency or entity may be slow to act, unwilling to take on politically powerful offenders, reluctant to cooperate with other agencies, or occasionally unable to enforce its judgments.

25:

0: The agency or entity does not effectively penalize offenders. The agency or entity may make judgments but not enforce them, or may fail to make reasonable judgments against offenders. The agency or entity may be partisan in its application of power and may refuse cooperation with other agencies.

22f. In practice, contributions to political parties are audited.

100 | 75 | 50 | 25 | 0

Comments:

The institutions in charge of auditing the contributions to political parties show little interest in doing thorough controls.

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Political party finances are regularly audited using generally accepted auditing practices. The auditing may be regular and comprehensive or only initiated after an initial review reveals irregularities. Auditing includes the auditing of nominally independent financial organizations that act as financial extensions of the party.

75:

50: Political party finances (as defined) are audited, but audits are limited in some way, such as using inadequate auditing standards, or the presence of exceptions to disclosed contributions. Contributions to the political party may be sufficiently audited, but the auditing of nominally independent extensions of the party may not be.

25:

0: Party finances are not audited, or the audits performed have no value in tracking contributions. Audits may be performed by entities known to be partisan or biased in their practices.

23. Are the regulations governing the political financing of individual candidates effective?

40

23a. In practice, the limits on individual donations to political candidates are effective in regulating an individual's ability to financially support a particular candidate.

100 | 75 | 50 | 25 | 0

Comments:

Existing limits are sometimes bypassed (this is known from the media), but the Electoral Authority has never properly investigated individual donations to political candidates.

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Existing limits represent the full extent to which an individual can directly or indirectly financially support a political candidate. Limits are reasonably low enough in the context of the total costs of running a campaign.

75:

50: Existing limits generally represent the full extent to which an individual can directly or indirectly financially support a particular candidate. However, exceptions and loopholes exist through which individuals can indirectly support particular political candidates above and beyond those formal limitations. Such loopholes could include making donations to third-party groups that advocate on behalf of (or against) a particular candidate; unregulated loans to candidates (rather than direct donations); or in-kind support that is not explicitly regulated by laws or regulations. The limits may be too high in the context of the overall costs of running a campaign.

25:

0: Existing limits are routinely bypassed or willfully ignored. The vast majority of individual contributions to a particular political candidate are made outside of the formal limitation system. There is no enforcement of violations. Limits are so high that they are meaningless in the context of the overall costs of running a campaign.

23b. In practice, the limits on corporate donations to individual candidates are effective in regulating a company's ability to financially support a candidate.

100 | 75 | 50 | 25 | 0

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Existing limits represent the full extent to which a company can directly or indirectly financially support an individual candidate. Limits are reasonably low enough in the context of the total costs of running a campaign to be meaningful.

75:

50: Existing limits generally represent the full extent to which a company can directly or indirectly financially support an individual candidate. However, exceptions and loopholes exist through which companies can indirectly support individual candidates above and beyond those formal limitations. Such loopholes could include making donations to third-party groups that advocate on behalf of (or against) a particular candidate; unregulated loans to candidates (rather than direct donations); or in-kind support that is not explicitly regulated by laws or regulations. The limits may be too high in the context of the overall costs of running a campaign.

25:

0: Existing limits are routinely bypassed or willfully ignored. The majority of corporate contributions to individual candidates are made outside of the formal limitation system. There is no enforcement of violations. Limits are so high that they are meaningless in the context of the overall costs of running a campaign.

23c. In practice, when necessary, an agency or entity monitoring the financing of individual candidates' campaigns independently initiates investigations.

100 | 75 | 50 | 25 | 0

Comments:

Control of financing is purely formal and the Electoral Authority only collects voluntary reports from parties. Some visible and suspicious cases of surpassing contribution thresholds were investigated as a result of an official complaint, but the result of the investigation had limited effectiveness.

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: The agency or entity aggressively starts investigations into allegations of wrong doing with respect to the financing of individual candidates' campaigns, or cooperates well with other agencies that do. The agency is fair in its application of this power.

75:

50: The agency or entity will start investigations, but often relies on external pressure to set priorities, or has limited effectiveness when investigating. The agency, though limited in effectiveness, is still fair in its application of power. It may be reluctant to cooperate with other investigatory agencies.

25:

0: The agency or entity rarely investigates on its own, or the agency or entity is partisan in its application of this power. It does not cooperate well with other investigatory agencies.

23d. In practice, when necessary, an agency or entity monitoring the financing of individual candidates' campaigns imposes penalties on offenders.

100 | 75 | 50 | 25 | 0

Comments:

Although the agency exists (The Electoral Authority) and can impose penalties on offenders, this has never been the case. There is a lack of activity and interest in this direction.

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: When rules violations are discovered, the agency or entity is aggressive in penalizing offenders or in cooperating with other agencies that do.

75:

50: The agency or entity enforces rules, but is limited in its effectiveness. The agency or entity may be slow to act, unwilling to take on politically powerful offenders, reluctant to cooperate with other agencies, or occasionally unable to enforce its judgments.

25:

0: The agency or entity does not effectively penalize offenders. The agency or entity may make judgments but not enforce them, or may fail to make reasonable judgments against offenders. The agency or entity may be partisan in its application of power or may refuse to cooperate with other agencies.

23e. In practice, the finances of individual candidates' campaigns are audited.

100 | 75 | 50 | 25 | 0

Comments:

The institutions in charge of auditing the finances of individual candidates show little interest in doing a thorough control. Usually the media is the one that reveals important facts.

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: The finances of individual candidates' campaigns are regularly audited using generally accepted auditing practices. The auditing may be regular and comprehensive or only initiated after an initial review reveals irregularities.

75:

50: The finances of individual candidates' campaigns are audited, but audits are limited in some way, such as using inadequate auditing standards, or the presence of exceptions to disclosed contributions.

25:

0: The finances of individual candidates' campaigns are not audited, or the audits performed have no value in tracking contributions. Audits may be performed by entities known to be partisan or biased in their practices.

24. Can citizens access records related to the financing of political parties?

50

24a. In practice, political parties disclose data relating to financial support and expenditures within a reasonable time period.

100 | 75 | 50 | 25 | 0

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Political parties disclose their sources of funding and expenditures at least every quarter.

75:

50: Political parties disclose their sources of funding and expenditures only one or two times per year. Delays may occur when sensitive political information is involved.

25:

0: Political parties never publish their sources of funding or expenditures or publish that information only rarely with more than a year in between publication. Politically sensitive information is regular withheld from public disclosure.

24b. In practice, citizens can access the financial records of political parties within a reasonable time period.

100 | 75 | 50 | 25 | 0

Comments:

The matter is related to the weak enforcement of the party financing rules. If citizens are persistent, they can obtain access to the documents submitted by the parties, but there is a widespread belief that these documents do not reflect reality.

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Records are available on-line, or records can be obtained within two days. Records are uniformly available; there are no delays for politically sensitive information.

75:

50: Records take two to four weeks to obtain. Some delays may be experienced.

25:

0: Records take more than a month to acquire. There may be persistent delays in obtaining politically sensitive records.

24c. In practice, citizens can access the financial records of political parties at a reasonable cost.

100 | 75 | 50 | 25 | 0

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Records are free to all citizens, or available for the cost of photocopying. Records can be obtained at little cost, such as by mail, or on-line.

75:

50: Records impose a financial burden on citizens, journalists or NGOs. Retrieving records may require a visit to a specific office, such as a regional or national capital.

25:

0: Retrieving records imposes a major financial burden on citizens. Records costs are prohibitive to most citizens, journalists, or NGOs trying to access this information.

24d. In practice, the publicly available records of political parties' finances are of high quality.

100 | 75 | 50 | 25 | 0

Comments:

There are visible discrepancies between the funds reported and the amount of money spent during campaigns. The publicly available records are unreliable.

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Publicly available records of political parties' finances are complete and detailed, itemizing all significant sources of income and expenditures.

75:

50: Publicly available records of political parties' finances are available but are often lacking in important details, are overly general, or are otherwise incomplete.

25:

0: Publicly available records of political parties' finances, when available, are so incomplete or overly general as to render them useless in understanding a party's sources of income and its expenditures.

25. Can citizens access records related to the financing of individual candidates' campaigns?

44

25a. In practice, individual political candidates disclose data relating to financial support and expenditures within a reasonable time period.

100 | 75 | 50 | 25 | 0

Comments:

Individual political candidates disclose their sources of funding from time to time, if pressured. The information is not always reliable.

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Individual candidates disclose their sources of funding and expenditures at least every quarter.

75:

50: Individual candidates disclose their sources of funding and expenditures only one or two times per year. Delays may occur when sensitive political information is involved.

25:

0: Individual candidates never publish their sources of funding or expenditures or publish that information only rarely with more than a year in between publication. Politically sensitive information is regular withheld from public disclosure.

25b. In practice, citizens can access the financial records of individual candidates (their campaign revenues and expenditures) within a reasonable time period.

100 | 75 | 50 | 25 | 0

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Records are available on-line, or records can be obtained within two days. Records are uniformly available; there are no delays for politically sensitive information.

75:

50: Records take two to four weeks to obtain. Some delays may be experienced.

25:

0: Records take more than a month to acquire. There may be persistent delays in obtaining politically sensitive records.

25c. In practice, citizens can access the financial records of individual candidates (their campaign revenues and expenditures) at a reasonable cost.

100 | 75 | 50 | 25 | 0

Comments:

The problem is not the cost, but the time taken for the procedure and the reliability of the information.

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Records are free to all citizens, or available for the cost of photocopying. Records can be obtained at little cost, such as by mail, or on-line.

75:

50: Records impose a financial burden on citizens, journalists or NGOs. Retrieving records may require a visit to a specific office, such as a regional or national capital.

25:

0: Retrieving records imposes a major financial burden on citizens. Records costs are prohibitive to most citizens, journalists, or NGOs trying to access this information.

25d. In practice, the publicly available records of political candidates' campaign finances are of high quality.

Comments:

The available records are not easily found and the information is unreliable.

References:

Sabina Fati, journalist, "Romania Libera," October 7, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Publicly available records of political candidates' campaign finances are complete and detailed, itemizing all significant sources of income and expenditures.

75:

50: Publicly available records of political candidates' campaign finances are available but are often lacking in important details, are overly general, or are otherwise incomplete.

25:

0: Publicly available records of political candidates' campaign finances, when available, are so incomplete or overly general as to render them useless in understanding a candidate's sources of income and expenditures.

Category 3. Government Conflicts of Interest Safeguards & Checks and Balances

3.1. Conflicts of Interest Safeguards & Checks and Balances: Executive Branch

26. In law, can citizens sue the government for infringement of their civil rights?

100

26a. In law, can citizens sue the government for infringement of their civil rights?

Yes | No

References:

Law No. 554/2004, "Legea contenciosului administrativ" (regarding administrative procedures).
Available link: http://www.cdep.ro/pls/legis/legis_pck.htm_act_text?id=60230

Yes: A YES score is earned if all citizens (citizen is defined broadly, to include all ethnicities, or anyone born in the country) can receive compensation or redress through the courts for civil rights violations committed by the government, such as failure to follow due process of law when detaining suspected criminals.

No: A NO score is earned if any group of citizens is excluded from the right to sue the government, or no such mechanism exists.

27. Can the chief executive be held accountable for his/her actions?

27a. In practice, the chief executive gives reasons for his/her policy decisions.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: The chief executive and/or cabinet ministers give formal explanations of all policy matters. The chief executive regularly takes critical questions from journalists or an opposition party, usually at least once a month. There is no censoring of such sessions.

75:

50: The chief executive and/or cabinet ministers give explanations of policy, but not always in a timely or complete way. The chief executive occasionally takes critical questions from journalists or an opposition party, but not in a regular or formalized process. Particular issues of political sensitivity may be censored by government broadcasters.

25:

0: The chief executive and/or cabinet ministers do not give substantial justifications for policy. Public appearances by the chief executive offer no exposure to critical questions. The government and government-run media routinely censor such sessions.

27b. In law, the judiciary can review the actions of the executive.

Yes | No

Comments:

The executive can be sued in courts of law. Also, the Constitutional Court can judge the constitutionality of decisions by the government.

References:

Law No. 554/2004, regarding administrative procedures.

Available link: http://www.cdep.ro/pls/legis/legis_pck.htm_act_text?id=60230

Romanian Constitution, Articles 142-147, regarding the Constitutional Court

Available link: <http://www.cdep.ro/pls/dic/site.page?id=339>

Yes: A YES score is earned if there is a formal process by which the judiciary can pass judgments on the legality or constitutionality of actions taken by the executive.

No: A NO score is earned if no such mechanism exists. A NO score is earned if judicial review is vaguely established in law or regulation without formal procedures. A NO score is earned if general exemptions exist with respect to executive actions that are reviewable (a national security exemption, for example).

27c. In practice, when necessary, the judiciary reviews the actions of the executive.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

100: When constitutional or legal questions or possible violations are raised, the judiciary is aggressive in reviewing executive actions and can void illegal or unconstitutional actions. The judiciary is fair and nonpartisan in its application of this power. It does not need to rely upon the executive to initiate a constitutional or legal review.

75:

50: The judiciary will review executive actions, but is limited in its effectiveness. The judiciary may be slow to act, unwilling to take on politically sensitive issues, or occasionally unable to enforce its judgments.

25:

0: The judiciary does not effectively review executive policy. The judiciary may make judgments but not enforce them, or may fail to pass judgments on executive abuses. The judiciary may be partisan in its application of power. It must rely on instructions from the executive in order to initiate a legal or constitutional review.

27d. In practice, the chief executive limits the use of executive orders for establishing new regulations, policies, or government practices.

100 | 75 | 50 | 25 | 0

Comments:

It is not so much a contradiction between the executive and the legislative branches, as the latter has the final word. All executive orders have to be approved by Parliament. The problem is the high frequency with which the executive uses this channel as a fast-track procedure to adopt legislation. The pretext of urgency is only partly motivated by the long list of reforms that had to be implemented in the last years before and immediately after joining the EU.

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: The chief executive utilizes executive orders only when there is no constitutional or legal requirement for official legislative action or approval. Executive orders are limited in number and narrow in scope.

75:

50: The chief executive sometimes relies on executive orders to implement policies and regulations opposed by the legislature. Some executive orders are overly broad in scope and are designed to circumvent constitutional or legal requirements for legislative action or approval.

25:

0: The chief executive routinely abuses executive orders to render the legislature practically useless. Executive orders are the norm, not the exception, and directly contravene constitutional or legal requirements for legislative action or approval.

28. Is the executive leadership subject to criminal proceedings?

100

28a. In law, the heads of state and government can be prosecuted for crimes they commit.

Yes | No

References:

Law No.115/1999, regarding ministerial responsibility.

Available link: http://legislatie.resurse-pentru-democratie.org/115_1999.php

Yes: A YES score is earned if the heads of state and government can be investigated, charged or prosecuted for criminal allegations. Figurehead officials (symbolic figures without day-to-day authority) may be exempt.

No: A NO score is earned if either the head of state or government cannot be investigated, charged or prosecuted for criminal allegations or the executive branch controls whether investigative or prosecutorial immunity can be lifted on the heads of state or government.

28b. In law, ministerial-level officials can be prosecuted for crimes they commit.

Yes | No

References:

Law No.115/1999 regarding ministerial responsibility.

Available link: http://legislatie.resurse-pentru-democratie.org/115_1999.php

Yes: A YES score is earned if ministerial-level officials, or their equivalents, can all be investigated, charged or prosecuted for criminal allegations.

No: A NO score is earned if any ministerial-level official, or equivalent official, cannot be investigated, charged or prosecuted for criminal allegations or the executive branch controls whether investigative or prosecutorial immunity can be lifted on ministerial-level officials.

29. Are there regulations governing conflicts of interest by the executive branch?

56

29a. In law, the heads of state and government are required to file a regular asset disclosure form.

Yes | No

Comments:

These requirements have been fulfilled since 1996, as Law No. 115/1996 on disclosing personal assets and interests by dignitaries, magistrates and civil servants. Also, improved declaration forms, available online, were introduced through Law No.158/2005.

References:

Law No. 176/2010.

Available

link: http://www.integritate.eu/UserFiles/File/Legea176_2010/LawNo176_2010_RegardingTheIntegrityInExercisingThePublicOfficials&DignitiesInOrderTo

Yes: A YES score is earned if the heads of state and government are required by law to file an asset disclosure form while in office, illustrating sources of income, stock holdings, and other assets. This form need not be publicly available to score a YES. Figurehead officials (symbolic figures without day-to-day authority) may be exempt.

No: A NO score is earned if either the head of state or government is not required to disclose assets.

29b. In law, ministerial-level officials are required to file a regular asset disclosure form.

Yes | No

Comments:

This requirement has been fulfilled since 1996 as Law No.115/1996 on disclosing personal assets and interests by dignitaries, magistrates and civil servants and new and improved declaration forms were introduced and made public online through Law No.158/2005.

References:

Law No.176/2010.

Available

link: http://www.integritate.eu/UserFiles/File/Legea176_2010/LawNo176_2010_RegardingTheIntegrityInExercisingThePublicOfficials&DignitiesInOrderTo

Yes: A YES score is earned if ministerial-level officials, or their equivalents, are all required by law to file an asset disclosure form while in office, illustrating sources of income, stock holdings, and other assets.

No: A NO score is earned if ministers are not required to disclose assets. A NO score is earned if some ministers must disclose assets, but other ministers are not required.

29c. In law, there are regulations governing gifts and hospitality offered to members of the executive branch.

Yes | No

References:

Law No.176/2010.

Available

link: http://www.integritate.eu/UserFiles/File/Legea176_2010/LawNo176_2010_RegardingTheIntegrityInExercisingThePublicOfficials&DignitiesInOrderTo

Yes: A YES score is earned if there are formal guidelines regulating gifts and hospitality offered to members of the executive branch of government.

No: A NO score is earned if there are no guidelines or regulations with respect to gifts and hospitality offered to members of the executive branch. A NO score is earned if the guidelines are overly general and do not specify what is and is not appropriate.

29d. In law, there are requirements for the independent auditing of the executive branch asset disclosure forms (defined here as ministers and heads of state and government).

Yes | No

Comments:

The requirements are included in Law No 176/2010 and the National Integrity Agency (ANI), set up through Law No 144/2007, is the administrative agency in charge of auditing disclosure forms.

References:

Law No.176/2010.

Available link:

http://www.integritate.eu/UserFiles/File/Legea176_2010/LawNo176_2010_RegardingTheIntegrityInExercisingThePublicOfficials&DignitiesInOrderToModif

Yes: A YES score is earned if there is a legal or regulatory requirement for independent auditing of executive branch asset disclosures. The auditing is performed by an impartial third-party. Figurehead officials (symbolic figures without day-to-day authority) may be exempt.

No: A NO score is earned if there are no legal or regulatory requirements for the independent auditing of executive branch asset disclosures or if such requirements exist but allow for self-auditing.

29e. In law, there are restrictions on heads of state and government and ministers entering the private sector after leaving the government.

Yes | No

References:

Laura Stefan, anti-corruption expert, former director in the Ministry of Justice.

Yes: A YES score is earned if there are regulations restricting the ability of heads of state/government and ministers to take positions in the private sector after leaving government that would present a conflict of interest, including positions that directly seek to influence their former government colleagues. Figurehead officials (symbolic figures without day-to-day authority) may be exempt.

No: A NO score is earned if no such restrictions exist.

29f. In practice, the regulations restricting post-government private sector employment for heads of state and government and ministers are effective.

100 | 75 | 50 | 25 | 0

Comments:

There are no such regulations.

References:

Laura Stefan, anti-corruption expert, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: The regulations restricting post-government private sector employment for heads of state/government and ministers are uniformly enforced. There are no cases or few cases of those officials taking jobs in the private sector after leaving government where they directly lobby or seek to influence their former government colleagues without an adequate "cooling off" period.

75:

50: The regulations are generally enforced though some exceptions exist. In certain sectors, heads of state/government or ministers are known to regularly take jobs in the private sector that entail directly lobbying or seeking to influence their former government colleagues. Cooling off periods are short and sometimes ignored.

25:

0: The regulations are rarely or never enforced. Heads of state/government or ministers routinely take jobs in the private sector following government employment that involve direct lobbying or influencing of former government colleagues. Cooling off periods are non-existent or never enforced. A zero score is also earned if heads of state and government or minister are allowed to hold private sector jobs while in office.

29g. In practice, the regulations governing gifts and hospitality offered to members of the executive branch are effective.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: The regulations governing gifts and hospitality to members of the executive branch are regularly enforced. Members of the executive branch never or rarely accept gifts or hospitality above what is allowed.

75:

50: The regulations governing gifts and hospitality to members of the executive branch are generally applied though exceptions exist. Some ministers in certain sectors are known to accept greater amounts of gifts and hospitality from outside interest groups or private sector actors than is allowed.

25:

0: The regulations governing gifts and hospitality to members of the executive branch are routinely ignored and unenforced. Ministers and other members of the executive branch routinely accept significant amounts of gifts and hospitality from outside interest groups and actors seeking to influence their decisions.

29h. In practice, executive branch asset disclosures (defined here as ministers and above) are audited.

100 | 75 | 50 | 25 | 0

Comments:

The National Agency of Integrity, in charge of auditing, is still new and inexperienced. Public scrutiny, through NGOs or media reports, is more effective.

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: Executive branch asset disclosures are regularly audited using generally accepted auditing practices.

75:

50: Executive branch asset disclosures are audited, but audits are limited in some way, such as using inadequate auditing standards, or the presence of exceptions to disclosed assets.

25:

0: Executive branch asset disclosures are not audited, or the audits performed have no value. Audits may be performed by entities known to be partisan or biased in their practices.

30. Can citizens access the asset disclosure records of the heads of state and government?

88

30a. In law, citizens can access the asset disclosure records of the heads of state and government.

Yes | No

Comments:

The asset-disclosure records are available online, by law, and can be found on the National Integrity Agency site.

References:

Law No.176/2010.

Available

link: http://www.integritate.eu/UserFiles/File/Legea176_2010/LawNo176_2010_RegardingTheIntegrityInExercisingThePublicOfficials&DignitiesInOrderToA

Yes: A YES score is earned if the heads of state and government file an asset disclosure form that is, in law, accessible to the public (individuals, civil society groups or journalists).

No: A NO score is earned if there is no asset disclosure for either the head of state or government. A NO score is earned if the form is filed, but not available to the public.

30b. In practice, citizens can access the asset disclosure records of the heads of state and government within a reasonable time period.

100 | 75 | 50 | 25 | 0

Comments:

The asset disclosure records are available online (<http://www.integritate.eu>), according to Law No 176/2010.

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: Records are available on-line, or records can be obtained within two days. Records are uniformly available; there are no delays for politically sensitive information.

75:

50: Records take around two weeks to obtain. Some additional delays may be experienced.

25:

0: Records take more than a month to acquire. In some cases, most records may be available sooner, but there may be persistent delays in obtaining politically sensitive records.

30c. In practice, citizens can access the asset disclosure records of the heads of state and government at a reasonable cost.

100 | 75 | 50 | 25 | 0

Comments:

Enforced by Law No. 176/2010.

The asset disclosure forms are available online, for free at : <http://www.integritate.eu>

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: Records are free to all citizens, or available for the cost of photocopying. Records can be obtained at little cost, such as by mail, or on-line.

75:

50: Records impose a financial burden on citizens, journalists or NGOs. Retrieving records may require a visit to a specific office, such as a regional or national capital.

25:

0: Retrieving records imposes a major financial burden on citizens. Records costs are prohibitive to most citizens, journalists, or NGOs trying to access this information.

30d. In practice, the asset disclosure records of the heads of state and government are of high quality.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: The asset disclosure records of the heads of state and government are complete and detailed, providing the public with an accurate and updated accounting of the individuals' sources of income, investments, and other financial interests.

75:

50: The asset disclosure records of the heads of state and government contain some useful information but may be lacking important details, including politically sensitive investment or other financial arrangements in which the individual has an interest.

25:

0: The asset disclosure records of the heads of state and government are overly general, lack any meaningful detail, and do not provide a clear accounting of the individuals' sources of income, investments, and other financial assets.

31. In practice, official government functions are kept separate and distinct from the functions of the ruling political party.

50

31a. In practice, official government functions are kept separate and distinct from the functions of the ruling political party.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: Clear rules are followed distinguishing state functions from party activities. Government funds are never used for party activities. The civil service is completely distinct from party bureaucracy.

75:

50: The ruling party is, in principal, separate from the state, but exceptions to this standard sometimes occur. Examples may be the use of civil servants to organize political rallies, use of government vehicles on campaign trips, or use of government funds for party purposes.

25:

0: The government bureaucracy is an extension of the ruling party. There are few boundaries between government and party activities. Government funds, equipment and personnel are regularly used to support party activities.

3.2. Conflicts of Interest Safeguards & Checks and Balances: Legislative Branch

32. Can members of the legislature be held accountable for their actions?

32a. In law, the judiciary can review laws passed by the legislature.

Yes | No

Comments:

The Constitutional Court can review laws passed by Parliament.

References:

Romanian Constitution, Articles 142-147.

Available link: <http://www.cdep.ro/pls/dic/site.page?id=339>

Yes: A YES score is earned if there is a formal process by which the judiciary or constitutional courts can pass judgments on the legality or constitutionality of laws passed by the legislature.

No: A NO score is earned if no such mechanism exists. A NO score is earned if judicial review is vaguely established in law or regulation without formal procedures. A NO score is earned if general exceptions exist exempting certain legislative actions from being reviewed (a national security exemption, for example).

32b. In practice, when necessary, the judiciary reviews laws passed by the legislature.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: When constitutional or legal questions or possible violations are raised, the judiciary is aggressive in reviewing laws passed and can void illegal or unconstitutional actions. The judiciary is fair and nonpartisan in its application of this power.

75:

50: The judiciary will review laws passed, but is limited in its effectiveness. The judiciary may be slow to act, unwilling to take on politically sensitive issues, or occasionally unable to enforce its judgments.

25:

0: The judiciary does not effectively review laws passed. The judiciary may make judgments but not enforce them, or may fail to pass judgments on executive abuses. The judiciary may be partisan in its application of power.

32c. In law, are members of the national legislature subject to criminal proceedings?

Yes | No

Comments:

The members of the national legislature can be freely investigated and brought to court, but cannot be searched, arrested or detained during investigations without Parliament's consent.

References:

Romanian Constitution, Criminal Procedure Code and the regulations of the two Parliament Chambers.

Yes: A YES score is earned if all members of the legislature can, in law, be investigated and prosecuted for criminal allegations.

No: A NO score is earned if any member of the legislature cannot, in law, be investigated and prosecuted for criminal proceedings. A NO score is also earned if the legislative branch itself controls whether investigative or prosecutorial immunity can be lifted on members of the legislature.

33. Are there regulations governing conflicts of interest by members of the national legislature?

54

33a. In law, members of the national legislature are required to file an asset disclosure form.

Yes | No

Comments:

This requirement has been fulfilled since 1996, as Law No.115/1996 on disclosing personal assets and interests by dignitaries, magistrates and civil servants and new and improved declaration forms were introduced through Law No.158/2005.

References:

Law No.176/2010.

Available

link: http://www.integritate.eu/UserFiles/File/Legea176_2010/LawNo176_2010_RegardingTheIntegrityInExercisingThePublicOfficials&DignitiesInOrderTo

Yes: A YES score is earned if all members of the legislature are required by law to file an asset disclosure form while in office, illustrating sources of income, stock holdings, and other assets. This form does not need to be publicly available to score a YES.

No: A NO score is earned if any member of the legislature is not required to disclose assets.

33b. In law, there are restrictions for national legislators entering the private sector after leaving the government.

Yes | No

References:

Laura Stefan, Anti-Corruption Coordinator at the Romanian Academic Society and former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Yes: A YES score is earned if there are regulations restricting national legislators' ability to take positions in the private sector after leaving government that would present a conflict of interest, including positions that directly seek to influence their former government colleagues.

No: A NO score is earned if no such restrictions exist.

33c. In law, there are regulations governing gifts and hospitality offered to members of the national legislature.

Yes | No

References:

Law No.176/2010.

Available

link: http://www.integritate.eu/UserFiles/File/Legea176_2010/LawNo176_2010_RegardingTheIntegrityInExercisingThePublicOfficials&DignitiesInOrderTo

Yes: A YES score is earned if there are formal guidelines regulating gifts and hospitality for members of the legislature.

No: A NO score is earned if there are no guidelines or regulations with respect to gifts or hospitality offered to members of the legislature. A NO score is earned if the guidelines are general and do not specify what is and is not appropriate.

33d. In law, there are requirements for the independent auditing of the asset disclosure forms of members of the national legislature.

Yes | No

Comments:

The requirements are included in Law No. 176/2010 and the National Integrity Agency (ANI), set up through Law No.144/2007, is the administrative agency in charge of auditing disclosure forms.

References:

Law No.176/2010.

Available link:

http://www.integritate.eu/UserFiles/File/Legea176_2010/LawNo176_2010_RegardingTheIntegrityInExercisingThePublicOfficials&DignitiesInOrderToModif

Yes: A YES score is earned if there is a legal or regulatory requirement for independent auditing of legislative branch asset disclosures. The auditing is performed by an impartial third-party.

No: A NO score is earned if there are no legal or regulatory requirements for the independent auditing of legislative branch asset disclosures or if such requirements exist but allow for self-auditing.

33e. In practice, the regulations restricting post-government private sector employment for national legislators are effective.

100 | 75 | 50 | 25 | 0

Comments:

There are no such regulations.

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: The regulations restricting post-government private sector employment for national legislators are uniformly enforced. There are no cases or few cases of legislators taking jobs in the private sector after leaving government where they directly lobby or seek to influence their former government colleagues without an adequate "cooling off" period.

75:

50: The regulations are generally enforced though some exceptions exist. In certain sectors, legislators are known to regularly take jobs in the private sector that entail directly lobbying or seeking to influence their former government colleagues. Cooling off periods are short and sometimes ignored.

25:

0: The regulations are rarely or never enforced. Legislators routinely take jobs in the private sector following government employment that involve direct lobbying or influencing of former government colleagues. Cooling off periods are non-existent or never enforced. A zero score is also earned if legislators are allowed to hold private sector positions while in office.

33f. In practice, the regulations governing gifts and hospitality offered to national legislators are effective.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: The regulations governing gifts and hospitality to national legislators are regularly enforced. Legislators never or rarely accept gifts or hospitality above what is allowed.

75:

50: The regulations governing gifts and hospitality to national legislators are generally applied though exceptions exist. Some legislators in certain sectors are known to accept greater amounts of gifts and hospitality from outside interest groups or private sector actors than is allowed.

25:

0: The regulations are rarely or never enforced. Legislators routinely take jobs in the private sector following government employment that involve direct lobbying or influencing of former government colleagues. Cooling off periods are non-existent or never enforced.

33g. In practice, national legislative branch asset disclosures are audited.

100 | 75 | 50 | 25 | 0

Comments:

The National Agency of Integrity, in charge of auditing, is still new and inexperienced. Public scrutiny, through NGOs or media reports, is more effective.

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: Legislative branch asset disclosures are regularly audited using generally accepted auditing practices.

75:

50: Legislative branch asset disclosures are audited, but audits are limited in some way, such as using inadequate auditing standards, or the presence of exceptions to disclosed assets.

25:

0: The regulations are rarely or never enforced. Legislators routinely take jobs in the private sector following government employment that involve direct lobbying or influencing of former government colleagues. Cooling off periods are non-existent or never enforced.

34. Can citizens access the asset disclosure records of members of the national legislature?

88

34a. In law, citizens can access the asset disclosure records of members of the national legislature.

Yes | No

Comments:

The asset-disclosure records are available online, by law, and can be found on the National Integrity Agency site.

References:

Law No. 176/2010, regarding the integrity in exercising the public officials' and dignitaries' orders.

Available

link: http://www.integritate.eu/UserFiles/File/Legea176_2010/LawNo176_2010_RegardingTheIntegrityInExercisingThePublicOfficials&DignitiesInOrderToA

Yes: A YES score is earned if members of the national legislature file an asset disclosure form that is, in law, accessible to the public (individuals, non-governmental groups or journalists).

No: A NO score is earned if there is no asset disclosure for members of the national legislature. A NO score is earned if the form is filed, but not available to the public.

34b. In practice, citizens can access legislative asset disclosure records within a reasonable time period.

100 | 75 | 50 | 25 | 0

Comments:

The asset-disclosure records are available online (<http://www.integritate.eu>), according to Law No. 176/2010.

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: Records are available on-line, or records can be obtained within two days. Records are uniformly available; there are no delays for politically sensitive information.

75:

50: Records take around two weeks to obtain. Some delays may be experienced.

25:

0: Records take more than a month to acquire. In some cases, most records may be available sooner, but there may be persistent delays in obtaining politically sensitive records.

34c. In practice, citizens can access legislative asset disclosure records at a reasonable cost.

100 | 75 | 50 | 25 | 0

Comments:

Enforced by Law No. 176/2010.

The asset-disclosure records are available online, for free, at: <http://www.integritate.eu>

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: Records are free to all citizens, or available for the cost of photocopying. Records can be obtained at little cost, such as by mail, or on-line.

75:

50: Records impose a financial burden on citizens, journalists or NGOs. Retrieving records may require a visit to a specific office, such as a regional or national capital.

25:

0: Retrieving records imposes a major financial burden on citizens. Records costs are prohibitive to most citizens, journalists, or NGOs trying to access this information.

34d. In practice, the asset disclosure records of members of the national legislature are of high quality.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: The asset disclosure records of members of the national legislature are complete and detailed, providing the public with an accurate and updated accounting of the individuals' sources of income, investments, and other financial interests.

75:

50: The asset disclosure records of the members of the national legislature contain some useful information but may be lacking important details, including politically sensitive investment or other financial arrangements in which the individual has an interest.

25:

0: The asset disclosure records of the members of the national legislature are overly general, lack any meaningful detail, and do not provide clear accounting of the individuals' sources of income, investments, and other financial assets.

35. Can citizens access legislative processes and documents?

92

35a. In law, citizens can access records of legislative processes and documents.

Yes | No

Comments:

Legislative proposals are traceable online in all the steps involved in passing a law and the final regulation is accessible in a legislative database.

Available at :<http://www.cdep.ro>

References:

Law No. 544/2000, Law No. 52/2003, Internal regulations of the Lower Chamber and the Senate.

Yes: A YES score is earned if there is a general legal right to access records of legislative proceedings including voting records. A YES score can still be given if there are formal rules for specific exemptions to the right to disclosure (special secret sessions related to national security).

No: A NO score is earned if there is no general right to access documents recording legislative proceedings. A NO score is earned if there are exemptions to the general right that are not clearly defined by formal rules.

35b. In practice, citizens can access records of legislative processes and documents within a reasonable time period.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: Records are available on-line, or records can be obtained within two days. Records are uniformly available; there are no delays for politically sensitive information.

75:

50: Records take around two weeks to obtain. Some delays may be experienced.

25:

0: Records take more than a month to acquire. In some cases, most records may be available sooner, but there may be persistent delays in obtaining politically sensitive records.

35c. In practice, citizens can access records of legislative processes and documents at a reasonable cost.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: Records are free to all citizens, or available for the cost of photocopying. Records can be obtained at little cost, such as by mail, or on-line.

75:

50: Records impose a financial burden on citizens, journalists or NGOs. Retrieving records may require a visit to a specific office, such as a regional or national capital.

25:

0: Retrieving records imposes a major financial burden on citizens. Records costs are prohibitive to most citizens, journalists, or NGOs trying to access this information.

79

3.3. Conflicts of Interest Safeguards & Checks and Balances: Judicial Branch

36. Are judges appointed fairly?

75

36a. In law, there is a transparent procedure for selecting national-level judges.

Yes | No

References:

Law No. 304/2004.

Available link: http://www.cdep.ro/pls/legis/legis_pck.htm_act?id=50322

Yes: A YES score is earned if there is a formal process for selecting national level justices. This process should be public in the debating and confirmation stages. National-level judges are defined as judges who have powers that derive from a national law or constitution; are nominated/appointed by a national governmental body (head of state/government or national legislature); and/or are elected nationally.

No: A NO score is given if there is no formal process of selection or the process is conducted without public oversight. National-level judges are defined as judges who have powers that derive from a national law or constitution; are nominated/appointed by a national governmental body (head of state/government or national legislature); and/or are elected nationally.

36b. In practice, professional criteria are followed in selecting national-level judges.

100 | 75 | 50 | 25 | 0

Comments:

There are still problems with seniority and networking in selecting national-level judges. There are difficulties in entering the system and many appointments — for example, in the high courts such as the Constitutional Court — are made on a political basis.

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: National-level judges selected have relevant professional qualifications such as formal legal training, experience as a lower court judge or a career as a litigator.

75:

50: Most national-level judges selected meet these qualifications, with some exceptions.

25:

0: National-level judges are often unqualified due to lack of training or experience.

36c. In law, there is a confirmation process for national-level judges (i.e. conducted by the legislature or an independent body).

Yes | No

Comments:

The Supreme Council of Magistrates is the independent, self-regulating body that manages the career of magistrates, including training and appointments.

References:

Romanian Constitution, Articles 133 and 134, regarding the Supreme Council of Magistrates.

Available link: <http://www.cdep.ro/pls/dic/site.page?id=339>

Yes: A YES score is earned if there is a formal process establishing a review of national-level judicial nominees by an agency or entity independent from the body appointing the judges.

No: A NO score is earned if there is no formal review. A NO score is earned if the review is conducted by the same body that appoints the judges (such as the Prime Minister approving judicial nominees put forward by the Minister of Justice, both of whom are part of the executive).

37. Can members of the judiciary be held accountable for their actions?

71

37a. In law, members of the national-level judiciary are obliged to give reasons for their decisions.

Yes | No

References:

Criminal Procedure Code, Civil Procedure Code, and the Administrative Code.

Yes: A YES score is earned if there is a formal and mandatory process for judges to explain their decisions.

No: A NO score is earned if justices are not required to explain decisions. A NO score is earned if there is a general exemption from explaining some decisions (such as national security).

37b. In practice, members of the national-level judiciary give reasons for their decisions.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: Judges are formally required to explain their judgments in detail, establishing a body of precedent. All judges comply with these requirements.

75:

50: Judges are compelled to give substantial reasons for their decisions, but some exceptions exist. These may include special courts, such as military courts or tribunals.

25:

0: Judges commonly issue decisions without formal explanations.

37c. In law, there is a disciplinary agency (or equivalent mechanism) for the national-level judicial system.

Yes | No

References:

Romanian Constitution, Articles 133 and 134, regarding the Supreme Council of Magistrates.

Available link: <http://www.cdep.ro/pls/dic/site.page?id=339>

Yes: A YES score is earned if there is a disciplinary agency (or equivalent mechanism) for the judicial system. A disciplinary agency is defined here as an agency or mechanism specifically mandated to investigate breaches of procedure, abuses of power or other failures of the judiciary. A YES score can still be earned if the judicial disciplinary agency (or mechanism) is internal to the judiciary.

No: A NO score is earned if no agency or mechanism is specifically mandated to act as a disciplinary mechanism for the national-level judiciary.

37d. In law, the judicial disciplinary agency (or equivalent mechanism) is protected from political interference.

Yes | No

References:

Romanian Constitution, Articles 133 and 134.
Available link: <http://www.cdep.ro/pls/dic/site.page?id=339>

Yes: A YES score is earned if there are formal rules establishing that the judicial disciplinary agency (or equivalent mechanism) is protected from political interference by the executive and legislative branches.

No: A NO score is earned if there are no formal rules establishing the independence of the judicial disciplinary agency (or equivalent mechanism). A NO score is given if the judicial disciplinary agency or equivalent mechanism function is carried out by an executive ministry or legislative committee.

37e. In practice, when necessary, the judicial disciplinary agency (or equivalent mechanism) initiates investigations.

100 | 75 | 50 | 25 | 0

Comments:

The Supreme Council of Magistrates, an independent body elected by the profession, is the only one that can discipline magistrates. So far, it behaves largely as a trade union protecting its members, no matter what.

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: The judicial disciplinary agency (or equivalent mechanism) aggressively starts investigations — or participates fully with cooperating agencies' investigations — into judicial misconduct. The judicial disciplinary agency (or equivalent mechanism) is fair in its application of this power.

75:

50: The judicial disciplinary agency (or equivalent mechanism) will start or cooperate in investigations, but often relies on external pressure to set priorities, or has limited effectiveness when investigating. The judicial disciplinary agency (or equivalent mechanism), though limited in effectiveness, is still fair in its application of power.

25:

0: The judicial disciplinary agency (or equivalent mechanism) rarely investigates on its own or cooperates in other agencies' investigations, or the judicial disciplinary agency (or equivalent mechanism) is partisan in its application of this power.

37f. In practice, when necessary, the judicial disciplinary agency (or equivalent mechanism) imposes penalties on offenders.

Comments:

The Supreme Council of Magistrates, an independent body elected by the profession, is the only one that can discipline magistrates. So far, it behaves largely as a trade union protecting its members, no matter what. The rare penalties decided were very light and only agreed upon after a lot of public pressure.

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: When rules violations are discovered, the judicial disciplinary agency (or equivalent mechanism) is aggressive in penalizing offenders or in cooperating with other agencies who penalize offenders.

75:

50: The judicial disciplinary agency (or equivalent mechanism) enforces rules, but is limited in its effectiveness. The judicial disciplinary agency (or equivalent mechanism) may be slow to act, unwilling to take on politically powerful offenders, resistant to cooperating with other agencies, or occasionally unable to enforce its judgments.

25:

0: The judicial disciplinary agency (or equivalent mechanism) does not effectively penalize offenders. The judicial disciplinary agency (or equivalent mechanism) may make judgments but not enforce them, does not cooperate with other agencies in enforcing penalties, or may fail to make reasonable judgments against offenders. The judicial disciplinary agency (or equivalent mechanism) may be partisan in its application of power.

38. Are there regulations governing conflicts of interest for the national-level judiciary?

79

38a. In law, members of the national-level judiciary are required to file an asset disclosure form.

Yes | No

Comments:

These requirements have been fulfilled since 1996, under Law No. 115/1996. on disclosing personal assets and interests by dignitaries, magistrates and civil servants. Additionally, improved declaration forms, available online, were introduced through Law No.158/2005.

References:

Law No. 176/2010.

Available

link: http://www.integritate.eu/UserFiles/File/Legea176_2010/LawNo176_2010_RegardingTheIntegrityInExercisingThePublicOfficials&DignitiesInOrderTo

Yes: A YES score is earned if all members of the national-level judiciary are required by law to file an asset disclosure form while in office, illustrating sources of income, stock holdings, and other assets. This form does not need to be publicly available to score a YES.

No: A NO score is earned if any member of the national-level judiciary is not required to publicly disclose assets.

38b. In law, there are regulations governing gifts and hospitality offered to members of the national-level judiciary.

Yes | No

References:

Law No. 176/2010.

Available

link: http://www.integratate.eu/UserFiles/File/Legea176_2010/LawNo176_2010_RegardingTheIntegrityInExercisingThePublicOfficials&DignitiesInOrderToM

Yes: A YES score is earned if there are formal guidelines regulating gifts and hospitality for members of the national-level judiciary.

No: A NO score is earned if there are no guidelines or regulations with respect to gifts or hospitality offered to members of the national-level judiciary. A NO score is earned if the guidelines are general and do not specify what is and is not appropriate.

38c. In law, there are requirements for the independent auditing of the asset disclosure forms of members of the national-level judiciary.

Yes | No

Comments:

The requirements are included in Law No. 176/2010 and the National Integrity Agency (ANI), set up through Law No. 144/2007, is the administrative agency in charge of auditing disclosure forms.

References:

Law No.176/2010. Available link:

http://www.integratate.eu/UserFiles/File/Legea176_2010/LawNo176_2010_RegardingTheIntegrityInExercisingThePublicOfficials&DignitiesInOrderToModif

Yes: A YES score is earned if there is a legal or regulatory requirement for independent auditing of national-level judiciary asset disclosures. The auditing is performed by an impartial third-party.

No: A NO score is earned if there are no legal or regulatory requirements for the independent auditing of national-level judiciary asset disclosures or if such requirements exist but allow for self-auditing.

38d. In law, there are restrictions for national-level judges entering the private sector after leaving the government.

Yes | No

References:

Law No. 303/2004.

Available link: http://www.cdep.ro/pls/legis/legis_pck.http_act?ida=50320

Yes: A YES score is earned if there are regulations restricting national-level judges' ability to take positions in the private sector after leaving government that would present a conflict of interest, including positions that directly seek to influence their former government colleagues.

No: A NO score is earned if no such restrictions exist.

38e. In practice, the regulations restricting post-government private sector employment for national-level judges are effective.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Olivia Nitu, World Bank expert, December 2, 2010, Bucharest.

100: The regulations restricting post-government private sector employment for national-level judges are uniformly enforced. There are no cases or few cases of judges taking jobs in the private sector after leaving government where they directly lobby or seek to influence their former government colleagues without an adequate "cooling off" period.

75:

50: The regulations are generally enforced though some exceptions exist. In certain cases, judges are known to regularly take jobs in the private sector that entail directly lobbying or seeking to influence their former government colleagues. Cooling off periods are short and sometimes ignored.

25:

0: The regulations are rarely or never enforced. Judges routinely take jobs in the private sector following government employment that involve direct lobbying or influencing of former government colleagues. Cooling off periods are non-existent or never enforced. A zero score is also earned if judges are allowed to hold private sector jobs while serving on the bench.

38f. In practice, the regulations governing gifts and hospitality offered to members of the national-level judiciary are effective.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: The regulations governing gifts and hospitality to members of the national-level judiciary are regularly enforced. Judges never or rarely accept gifts or hospitality above what is allowed.

75:

50: The regulations governing gifts and hospitality to members of the national-level judiciary are generally applied though exceptions exist. Some judges are known to accept greater amounts of gifts and hospitality from outside interest groups or private sector actors than is allowed.

25:

0: The regulations are rarely or never enforced. Judges routinely take jobs in the private sector following government employment that involve direct lobbying or influencing of former government colleagues. Cooling off periods are non-existent or never enforced.

38g. In practice, national-level judiciary asset disclosures are audited.

100 | 75 | 50 | 25 | 0

Comments:

The National Agency of Integrity, in charge of auditing, is still new and inexperienced. Public scrutiny, through NGOs or media reports, is more effective.

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: National-level judiciary asset disclosures are regularly audited using generally accepted auditing practices.

75:

50: National-level judiciary asset disclosures are audited, but audits are limited in some way, such as using inadequate auditing standards, or the presence of exceptions to disclosed assets.

25:

0: The regulations are rarely or never enforced. Judges routinely take jobs in the private sector following government employment that involve direct lobbying or influencing of former government colleagues. Cooling off periods are non-existent or never enforced.

39. Can citizens access the asset disclosure records of members of the national-level judiciary?

88

39a. In law, citizens can access the asset disclosure records of members of the national-level judiciary.

Yes | No

Comments:

The asset-disclosure records are available online, by law, and can be found on the National Integrity Agency site.

References:

Law No. 176/2010.

Available

link: http://www.integritate.eu/UserFiles/File/Legea176_2010/LawNo176_2010_RegardingTheIntegrityInExercisingThePublicOfficials&DignitiesInOrderTo

Yes: A YES score is earned if members of the national-level judiciary file an asset disclosure form that is, in law, accessible to the public (individuals, civil society groups or journalists).

No: A NO score is earned if there is no asset disclosure for members of the national-level judiciary. A NO score is earned if the form is filed, but not available to the public.

39b. In practice, citizens can access judicial asset disclosure records within a reasonable time period.

100 | 75 | 50 | 25 | 0

Comments:

The asset-disclosure records are available online (<http://www.integritate.eu>), according to Law No. 176/2010.

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: Records are available on-line, or records can be obtained within two days. Records are uniformly available; there are no delays for politically sensitive information.

75:

50: Records take around two weeks to obtain. Some delays may be experienced.

25:

0: Records take more than a month to acquire. In some cases, most records may be available sooner, but there may be persistent delays in obtaining politically sensitive records.

persistent delays in obtaining politically sensitive records.

39c. In practice, citizens can access judicial asset disclosure records at a reasonable cost.

100 | 75 | 50 | 25 | 0

Comments:

Enforced by Law No. 176/2010. The asset disclosures are available online, for free, at : <http://www.integritate.eu>

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: Records are free to all citizens, or available for the cost of photocopying. Records can be obtained at little cost, such as by mail, or on-line.

75:

50: Records impose a financial burden on citizens, journalists or NGOs. Retrieving records may require a visit to a specific office, such as a regional or national capital.

25:

0: Retrieving records imposes a major financial burden on citizens. Records costs are prohibitive to most citizens, journalists, or NGOs trying to access this information.

39d. In practice, the asset disclosure records of the national-level judiciary are of high quality.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: The asset disclosure records of the national-level judiciary are complete and detailed, providing the public with an accurate and updated accounting of the individuals' sources of income, investments, and other financial interests.

75:

50: The asset disclosure records of the national-level judiciary contain some useful information but may be lacking important details, including politically sensitive investment or other financial arrangements in which the individual has an interest.

25:

0: The asset disclosure records of the national-level judiciary are overly general, lack any meaningful detail, and do not provide a clear accounting of the individuals' sources of income, investments, and other financial assets.

3.4. Budget Process Oversight & Transparency

40. Can the legislature provide input to the national budget?

40a. In law, the legislature can amend the budget.

Yes | No

References:

Law No. 500/2002 regarding public finances.

Yes: A YES score is earned if the legislature has the power to add or remove items to the national government budget.

No: A NO score is earned if the legislature can only approve but not change details of the budget. A NO score is earned if the legislature has no input into the budget process.

40b. In practice, significant public expenditures require legislative approval.

100 | 75 | 50 | 25 | 0

Comments:

Although in theory Parliament must approve public expenditures, in practice, substantial allocations may be decided by the government on fast-track procedures. These procedures, the so-called emergency ordinances, are approved by members of Parliament post-factum (after the fact).

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: All significant government expenditures (defined as any project costing more than 1% of the total national budget), must be approved by the legislature. This includes defense and secret programs, which may be debated in closed hearings.

75:

50: Most significant government expenditures (as defined) are approved by the legislature, but some exceptions to this rule exist. This may include defense programs, an executive's personal budget, or other expenses.

25:

0: The legislature does not have the power to approve or disapprove large portions of the government budget, or the legislature does not exercise this power in a meaningful way.

40c. In practice, the legislature has sufficient capacity to monitor the budget process and provide input or changes.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: Legislators benefit from a sufficient and qualified staff as well as adequate financial and physical resources. Lack of capacity is never a reason why legislators cannot carry out their duties effectively.

75:

50: Legislators have some staff and financial resources but are limited by a shortfall of resources to adequately perform all of their budgetary oversight functions. Legislators are occasionally overwhelmed by the volume of work to be performed.

25:

0: Legislators have little to no staff and virtually no financial resources with which to perform their budgetary oversight role. Lack of resources is a regular and systemic problem that cripples the performance of the legislature.

41. Can citizens access the national budgetary process?

50

41a. In practice, the national budgetary process is conducted in a transparent manner in the debating stage (i.e. before final approval).

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: Budget debates are public and records of these proceedings are easily accessible. Authors of individual budget items can easily be identified. Nearly all budget negotiations are conducted in these official proceedings.

75:

50: There is a formal, transparent process for budget debate, but major budget modifications may be negotiated in separate, closed sessions. Some items, such as non-secret defense projects, may be negotiated in closed sessions. Authors of individual line items may be difficult to identify.

25:

0: Budget negotiations are effectively closed to the public. There may be a formal, transparent process, but most real discussion and debate happens in other, closed settings.

41b. In practice, citizens provide input at budget hearings.

100 | 75 | 50 | 25 | 0

Comments:

There is a formal access to provide input to the budget debate, but it is rarely used.

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: Citizens, usually acting through NGOs, can provide information or commentary to the budget debate through a formal process. This information is essential to the process of evaluating budget priorities.

75:

50: Citizens or NGOs can provide input, but this information is often not relevant to budget decisions.

25:

0: Citizens or NGOs have no formal access to provide input to the budget debate.

41c. In practice, citizens can access itemized budget allocations.

100 | 75 | 50 | 25 | 0

Comments:

Itemized budget allocations are published, but practical access to it is costly and troublesome for ordinary citizens.

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: Citizens, journalists and NGOs can access itemized lists of budget allocations. This information is easily available and up to date.

75:

50: Citizens, journalists and NGOs can access itemized lists of budget allocations but this information may be difficult to access, incomplete or out of date.

25:

0: Citizens cannot access an itemized list of budget allocations, due to secrecy, prohibitive barriers or government inefficiency.

42. In law, is there a separate legislative committee which provides oversight of public funds?

100

42a. In law, is there a separate legislative committee which provides oversight of public funds?

Yes | No

References:

Parliamentary Budget Committees, The Court of Accounts, Romanian Constitution, Article 140.

Available link: <http://www.cdep.ro/pls/dic/site.page?id=339>

Yes: A YES score is earned if there is a dedicated legislative committee (or equivalent group located in the legislature) that oversees the expenditure of public funds.

No: A NO score is earned if no such body exists within the legislature. A NO score is earned if there is a body executing this function but it is not part of the legislature (such as a separate supreme audit institution).

43. Is the legislative committee overseeing the expenditure of public funds effective?

67

43a. In practice, department heads regularly submit reports to this committee.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: Heads of ministry- or cabinet-level agencies submit regular, formal reports of expenses to a budget oversight committee.

75:

50: Agency heads submit reports to a budget oversight committee, but these reports are flawed in some way. The reports may be inconsistently delivered, or lacking important details.

25:

0: There is no budget oversight committee or equivalent, or heads of agencies do not submit meaningful reports to the agency.

43b. In practice, the committee acts in a non-partisan manner with members of opposition parties serving on the committee in an equitable fashion.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: The committee is comprised of legislators from both the ruling party (or parties) and opposition parties in a roughly equitable distribution. All members of the committee — including opposition party members — are able to fully participate in the activities of the committee and influence the committee's work to roughly the same extent as any other member of the committee.

75:

50: The committee is comprised of legislators from both the ruling party (or parties) and opposition parties although the ruling party has a disproportionate share of committee seats. The chairperson of the committee may be overly influential and curb other members' ability to shape the committee's activities.

25:

0: The committee is dominated by legislators of the ruling party and/or the committee chairperson. Opposition legislators serving on the committee have in practice no way to influence the work of the committee.

43c. In practice, when necessary, this committee initiates independent investigations into financial irregularities.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

100: When irregularities are discovered, the committee is aggressive in investigating the government.

75:

50: The committee starts investigations, but is limited in its effectiveness. The committee may be slow to act, unwilling to take on politically powerful offenders, or occasionally unable to enforce its judgments.

25:

0: The committee does not effectively investigate financial irregularities. The committee may start investigations but not complete them, or may fail to detect offenders. The committee may be partisan in its application of power.

Category 4. Public Administration and Professionalism

4.1. ⁷⁴Civil Service: Conflicts of Interest Safeguards and Political Independence

44. Are there national regulations for the civil service encompassing, at least, the managerial and professional staff?

75

44a. In law, there are regulations requiring an impartial, independent and fairly managed civil service.

Yes | No

References:

Law No. 188/1999.

Available link: http://www.politiaromana.ro/legea_188_1999.htm

Yes: A YES score is earned if there are specific formal rules establishing that the civil service carry out its duties independent of political interference.

No: A NO score is earned if there are no formal rules establishing an independent civil service.

44b. In law, there are regulations to prevent nepotism, cronyism, and patronage within the civil service.

Yes | No

References:

Law No. 188/1999.

Available link: http://www.politiaromana.ro/legea_188_1999.htm

Yes: A YES score is earned if there are specific formal rules prohibiting nepotism, cronyism, and patronage in the civil service. These should include competitive recruitment and promotion procedures as well as safeguards against arbitrary disciplinary actions and dismissal.

No: A NO score is earned if no such regulations exist.

44c. In law, there is an independent redress mechanism for the civil service.

Yes | No

References:

National Agency for Civil Servants, part of the central government, set up through Law No. 188/1999.
Available link: http://www.politiaromana.ro/legea_188_1999.htm

Yes: A YES score is earned if there is a mechanism to which civil servants and applicants for the civil service can take grievances regarding civil service management actions. The mechanism should be independent of their supervisors but can still be located within the government agency or entity (such as a special commission or board). Civil servants are able to appeal the mechanism's decisions to the judiciary.

No: A NO score is earned if no such mechanism exists, or if the only recourse civil servants have is directly through the courts.

44d. In law, civil servants convicted of corruption are prohibited from future government employment.

Yes | No

Comments:

It is not a lifetime ban. There is a rehabilitation term during which the civil servant cannot be employed by the government. After this period, s/he can become a civil servant again.

References:

Law No.188/1999.
Available link: http://www.politiaromana.ro/legea_188_1999.htm

Yes: A YES score is earned if there are specific rules prohibiting continued government employment following a corruption conviction.

No: A NO score is earned if no such rules exist or if the ban is not a lifetime ban.

45. Is the law governing the administration and civil service effective?

56

45a. In practice, civil servants are protected from political interference.

100 | 75 | 50 | 25 | 0

References:

Calin Emilian Hintea, Chair of the Public Administration Department, Babes Bolyai University.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Civil servants operate independently of the political process, without incentive or pressure to render favorable treatment or policy decisions on politically sensitive issues. Civil servants rarely comment on political debates. Individual judgments are

rarely praised or criticized by political figures. Civil servants can bring a case to the courts challenging politically-motivated firings.

75:

50: Civil servants are typically independent, yet are sometimes influenced in their judgments by negative or positive political or personal incentives. This may include favorable or unfavorable treatment by superiors, public criticism or praise by the government, or other forms of influence. Civil servants may bring a case to the judicial system challenging politically-motivated firings but the case may encounter delays or bureaucratic hurdles.

25:

0: Civil servants are commonly influenced by political or personal matters. This may include conflicting family relationships, professional partnerships, or other personal loyalties. Negative incentives may include threats, harassment or other abuses of power. Civil servants are unable to find a remedy in the courts for unjustified or politically-motivated firings.

45b. In practice, civil servants are appointed and evaluated according to professional criteria.

100 | 75 | 50 | 25 | 0

References:

Calin Emilian Hintea, Chair of the Public Administration Department, Babes Bolyai University.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Appointments to the civil service and their professional evaluations are made based on professional qualifications. Individuals appointed are free of conflicts of interest arising from personal loyalties, family connections or other biases. Individuals appointed usually do not have clear political party affiliations.

75:

50: Appointments and professional assessments are usually based on professional qualifications. Individuals appointed may have clear party loyalties, however.

25:

0: Appointments and professional assessments are often based on political considerations. Individuals appointed often have conflicts of interest due to personal loyalties, family connections or other biases. Individuals appointed often have clear party loyalties.

45c. In practice, civil service management actions (e.g. hiring, firing, promotions) are not based on nepotism, cronyism, or patronage.

100 | 75 | 50 | 25 | 0

Comments:

At all levels, especially low levels, there are many cases of civil servants hired and promoted not on professional criteria, but based on nepotism, cronyism etc. This is the case for regulatory agencies (electricity, air transportation authority), privatization office, etc.

References:

Calin Emilian Hintea, Chair of the Public Administration Department, Babes Bolyai University.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Nepotism (favorable treatment of family members), cronyism (favorable treatment of friends and colleagues), and patronage (favorable treatment of those who reward their superiors) are actively discouraged at all levels of the civil service. Hirings, firings, and promotions are based on merit and performance.

75:

50: Nepotism, cronyism, and patronage are discouraged, but exceptions exist. Political leaders or senior officials sometimes appoint family member or friends to favorable positions in the civil service, or lend other favorable treatment.

25:

0: Nepotism, cronyism, and patronage are commonly accepted principles in hiring, firing and promotions of civil servants.

45d. In practice, civil servants have clear job descriptions.

100 | 75 | 50 | 25 | 0

References:

Calin Emilian Hintea, Chair of the Public Administration Department, Babes Bolyai University.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Civil servants almost always have formal job descriptions establishing levels of seniority, assigned functions, and compensation. Job descriptions are a reliable representation of positions in terms of a person's authority, responsibility and base pay.

75:

50: Civil servants often have formal job descriptions, but exceptions exist. Some civil servants may not be part of the formal assignment of duties and compensations. Some job descriptions may not map clearly to pay or responsibilities in some cases.

25:

0: Civil servants do not have formal roles or job descriptions. If they do, such job descriptions have little or nothing to do with the position's responsibilities, authority, or pay.

45e. In practice, civil servant bonuses constitute only a small fraction of total pay.

100 | 75 | 50 | 25 | 0

Comments:

The fraction of discretionary payment was, until recently, very high in some institutions or sectors, and the whole payment system for civil servants opaque, fragmented and uncontrollable. Powerful institutions used to double or triple the salaries through bonuses. In 2010, serious (and unpopular) efforts were made by the executive to reduce this discretionary component and introduce, by law, a unified payment system across all public sectors.

References:

Calin Emilian Hintea, Chair of the Public Administration Department, Babes Bolyai University.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Civil servant bonuses constitute no more than 10% of total pay and do not represent a major element of take-home pay.

75:

50: Civil servant bonuses are generally a small percentage of total take-home pay for most civil servants though exceptions exist where some civil servants' bonuses represent a significant part of total pay.

25:

0: Most civil servants receive bonuses that represent a significant amount of total take-home pay. In some cases bonuses represent the majority of total pay to civil servants.

45f. In practice, the government publishes the number of authorized civil service positions along with the number of positions actually filled.

100 | 75 | 50 | 25 | 0

References:

Calin Emilian Hintea, Chair of the Public Administration Department, Babes Bolyai University.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: The government publishes such a list on a regular basis.

75:

50: The government publishes such a list but it is often delayed or incomplete. There may be multiple years in between each successive publication.

25:

0: The government rarely or never publishes such a list, or when it does it is wholly incomplete.

45g. In practice, the independent redress mechanism for the civil service is effective.

100 | 75 | 50 | 25 | 0

Comments:

The independent mechanism (Agency for Civil Servants) tends to be weak and politicized. However, many top civil servants won court cases against the government for unfair dismissal .

References:

Calin Emilian Hintea, Chair of the Public Administration Department, Babes Bolyai University.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: The independent redress mechanism for the civil service can control the timing and pace of its investigations without any input from the bodies that manage civil servants on a day-to-day basis.

75:

50: The independent civil service redress mechanism can generally decide what to investigate and when but is sometimes subject to pressure from the executive or the bodies that manage civil servants on a day-to-day basis on politically sensitive issues.

25:

0: The civil service redress mechanism must rely on approval from the executive or the bodies that manage civil servants on a day-to-day basis before initiating investigations. Politically sensitive investigations are almost impossible to move forward on.

45h. In practice, in the past year, the government has paid civil servants on time.

100 | 75 | 50 | 25 | 0

Comments:

The problems concern the present economic crisis faced by Romania.

References:

Calin Emilian Hintea, Chair of the Public Administration Department, Babes Bolyai University.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: In the past year, no civil servants have been paid late.

75:

50: In the past year, some civil servants have been paid late.

25:

0: In the past year, civil servants have frequently been denied due pay.

45i. In practice, civil servants convicted of corruption are prohibited from future government employment.

100 | 75 | 50 | 25 | 0

Comments:

There are rehabilitation periods, after which civil servants can again be employed by the government

References:

Laura Stefan, anti-corruption coordinator, Romanian Academic Society, December 2, 2010, Bucharest.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: A system of formal blacklists and cooling off periods is in place for civil servants convicted of corruption. All civil servants are subject to this system.

75:

50: A system of formal blacklists and cooling off periods is in place, but the system has flaws. Some civil servants may not be affected by the system, or the prohibitions are sometimes not effective. Some bans are only temporary.

25:

0: There is no such system, or the system is consistently ineffective in prohibiting future employment of convicted civil servants.

46. Are there regulations addressing conflicts of interest for civil servants?

72

46a. In law, senior members of the civil service are required to file an asset disclosure form.

Yes | No

Comments:

The requirements are included in Law No. 176/2010 and the National Integrity Agency (ANI), set up through Law No. 144/2007, is the administrative agency in charge of auditing disclosure forms.

References:

Law No.176/2010.

Available link:

http://www.integritate.eu/UserFiles/File/Legea176_2010/LawNo176_2010_RegardingTheIntegrityInExercisingThePublicOfficials&DignitiesInOrderToModif

Yes: A YES score is earned if senior members of the civil service are required by law to file an asset disclosure form while in office, illustrating sources of income, stock holdings, and other assets. This form does not need to be publicly available to score a YES.

No: A NO score is earned if any senior member of the civil service is not required to disclose assets.

46b. In law, there are requirements for civil servants to recuse themselves from policy decisions where their personal interests may be affected.

Yes | No

References:

Law No. 188/199, available link: http://www.politiaromana.ro/legea_188_1999.htm

Law No.176/2010, available link:

http://www.integritate.eu/UserFiles/File/Legea176_2010/LawNo176_2010_RegardingTheIntegrityInExercisingThePublicOfficials&DignitiesInOrderToModif

Yes: A YES score is earned if there are requirements for civil servants to recuse themselves from policy decisions where their personal interests, including personal financial interests as well as those of their family and friends, are affected.

No: A NO score exists if no such requirements exist in regulation or law.

46c. In law, there are restrictions for civil servants entering the private sector after leaving the government.

Yes | No

Comments:

The provisions are explicit only for civil servants who work in inspection or monitoring agencies. In their case, they cannot take positions in companies they directly control or monitor for a period of two years.

References:

Law No. 188/199, available link: http://www.politiaromana.ro/legea_188_1999.htm

Yes: A YES score is earned if there are regulations restricting civil servants' ability to take positions in the private sector after leaving government that would present a conflict of interest, including positions that directly seek to influence their former government colleagues.

No: A NO score is earned if no such restrictions exist.

46d. In law, there are regulations governing gifts and hospitality offered to civil servants.

Yes | No

References:

Law No. 176/2010. Available link:

http://www.integritate.eu/UserFiles/File/Legea176_2010/LawNo176_2010_RegardingTheIntegrityInExercisingThePublicOfficials&DignitiesInOrderToModif

Yes: A YES score is earned if there are formal guidelines regarding gifts and hospitality given to civil servants.

No: A NO score is earned if there are no such guidelines or regulations.

46e. In law, there are requirements for the independent auditing of the asset disclosure forms of senior members of the civil service.

Yes | No

Comments:

The requirements are included in Law No. 176/2010 and the National Integrity Agency (ANI), set up through Law No. 144/2007, is the administrative agency in charge of auditing disclosure forms.

References:

Law No.176/2010. Available link:

http://www.integritate.eu/UserFiles/File/Legea176_2010/LawNo176_2010_RegardingTheIntegrityInExercisingThePublicOfficials&DignitiesInOrderToModif

Yes: A YES score is earned if there is a legal or regulatory requirement for independent auditing of civil service asset disclosures. The auditing is performed by an impartial third-party.

No: A NO score is earned if there are no legal or regulatory requirements for the independent auditing of civil service asset disclosures or if such requirements exist but allow for self-auditing.

46f. In practice, the regulations restricting post-government private sector employment for civil servants are effective.

100 | 75 | 50 | 25 | 0

Comments:

The regulations are not strictly respected. "Exceptions" are often found. "Freeze" periods after leaving civil service are not effectively enforced. Top officials from regulatory institutions take jobs in the regulated industry. For example, the former head of the Competition Council was immediately employed by a large energy company, even though the investigation launched by him in the industry was not yet over.

References:

Calin Emilian Hintea, Chair of the Public Administration Department, Babes Bolyai University.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: The regulations restricting post-government private sector employment for civil servants are uniformly enforced. There are no cases or few cases of civil servants taking jobs in the private sector after leaving government where they directly lobby or seek to influence their former government colleagues without an adequate "cooling off" period.

75:

50: The regulations are generally enforced though some exceptions exist. In certain sectors, civil servants are known to regularly take jobs in the private sector that entail directly lobbying or seeking to influence their former government colleagues. Cooling off periods are short and sometimes ignored.

25:

0: The regulations are rarely or never enforced. Civil servants routinely take jobs in the private sector following government employment that involve direct lobbying or influencing of former government colleagues. Cooling off periods are non-existent or never enforced.

46g. In practice, the regulations governing gifts and hospitality offered to civil servants are effective.

100 | 75 | 50 | 25 | 0

Comments:

It is not the number of cases, but the fact that they tend to appear at the top levels. Formal rules requiring the disclosure of gifts

and gratuities do exist and small gifts are usually reported on the declaration forms. However, the exchange of important favors through more subtle channels, involving important resources, continues undeterred.

References:

Calin Emilian Hintea, Chair of the Public Administration Department, Babes Bolyai University.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: The regulations governing gifts and hospitality to civil servants are regularly enforced. Civil servants never or rarely accept gifts or hospitality above what is allowed.

75:

50: The regulations governing gifts and hospitality to civil servants are generally applied though exceptions exist. Some civil servants in certain sectors are known to accept greater amounts of gifts and hospitality from outside interest groups or private sector actors than is allowed.

25:

0: The regulations governing gifts and hospitality to the civil service are routinely ignored and unenforced. Civil servants routinely accept significant amounts of gifts and hospitality from outside interest groups and actors seeking to influence their decisions.

46h. In practice, the requirements for civil service recusal from policy decisions affecting personal interests are effective.

100 | 75 | 50 | 25 | 0

Comments:

The most serious problems appear at the top echelons, where officials do not take part formally in the decision-making bodies (procurement commissions, for example), but they control decisions through the politicized civil servants.

References:

Calin Emilian Hintea, Chair of the Public Administration Department, Babes Bolyai University.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: The requirements that civil servants recuse themselves from policy decisions where their personal interests are affected are routinely followed by most or all civil servants.

75:

50: The requirements that civil servants recuse themselves from policy decisions where their personal interests are affected are followed by most civil servants though exceptions exist. In certain sectors, civil servants are known to routinely participate in policy decisions where their personal interests are affected.

25:

0: Most civil servants routinely ignore recusal requirements and continue to participate in policy decisions where their personal interests are affected.

46i. In practice, civil service asset disclosures are audited.

100 | 75 | 50 | 25 | 0

Comments:

The National Agency of Integrity, in charge with auditing, is still new and inexperienced. Public scrutiny, through NGOs or media reports, is more effective.

References:

Calin Emilian Hintea, Chair of the Public Administration Department, Babes Bolyai University.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Civil service asset disclosures are regularly audited using generally accepted auditing practices.

75:

50: Civil service asset disclosures are audited, but audits are limited in some way, such as using inadequate auditing standards, or the presence of exceptions to disclosed assets.

25:

0: Civil service asset disclosures are not audited, or the audits performed have no value. Audits may be performed by entities known to be partisan or biased in their practices.

47. Can citizens access the asset disclosure records of senior civil servants?

88

47a. In law, citizens can access the asset disclosure records of senior civil servants.

Yes | No

Comments:

The asset-disclosure records are available online, by law, and can be found on the National Integrity Agency site.

References:

Law No.176/2010. Available link:

http://www.integritate.eu/UserFiles/File/Legea176_2010/LawNo176_2010_RegardingTheIntegrityInExercisingThePublicOfficials&DignitiesInOrderToModif

Yes: A YES score is earned if laws or regulations guarantee that citizens can access the asset records of senior civil servants.

No: A NO score is earned if senior civil servants do not file an asset disclosure. A NO score is earned if senior civil servants file an asset disclosure, but it is not available to the public.

47b. In practice, citizens can access the asset disclosure records of senior civil servants within a reasonable time period.

100 | 75 | 50 | 25 | 0

Comments:

The asset-disclosure records are available online (<http://www.integritate.eu>), according to Law No. 176/2010.

References:

Calin Emilian Hintea, Chair of the Public Administration Department, Babes Bolyai University.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Records are available on-line, or records can be obtained within two days. Records are uniformly available; there are no delays for politically sensitive information.

75:

50: Records take around two weeks to obtain. Some delays may be experienced.

25:

0: Records take more than a month to acquire. In some cases, most records may be available sooner, but there may be persistent delays in obtaining politically sensitive records.

47c. In practice, citizens can access the asset disclosure records of senior civil servants at a reasonable cost.

100 | 75 | 50 | 25 | 0

Comments:

Enforced by Law No. 176/2010. The asset-disclosures are available online, for free, at: <http://www.integritate.eu>

References:

Calin Emilian Hinte, Chair of the Public Administration Department, Babes Bolyai University.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Records are free to all citizens, or available for the cost of photocopying. Records can be obtained at little cost, such as by mail, or on-line.

75:

50: Records impose a financial burden on citizens, journalists or NGOs. Retrieving records may require a visit to a specific office, such as a regional or national capital.

25:

0: Retrieving records imposes a major financial burden on citizens. Records' costs are prohibitive to most citizens, journalists, or NGOs trying to access this information.

47d. In practice, the asset disclosure records of senior civil servants are of high quality.

100 | 75 | 50 | 25 | 0

References:

Calin Emilian Hinte, Chair of the Public Administration Department, Babes Bolyai University.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: The asset disclosure records of senior civil servants are complete and detailed, providing the public with an accurate and updated accounting of the individuals' sources of income, investments, and other financial interests.

75:

50: The asset disclosure records of senior civil servants contain some useful information but may be lacking important details, including politically sensitive investment or other financial arrangements in which the individual has an interest.

25:

0: The asset disclosure records of senior civil servants are overly general, lack any meaningful detail, and do not provide a clear accounting of the individuals' sources of income, investments, and other financial assets.

4.2. Whistle-blowing Protections

48. Are employees protected from recrimination or other negative consequences when reporting corruption (i.e. whistle-blowing)?

69

48a. In law, civil servants who report cases of corruption, graft, abuse of power, or abuse of resources are protected from recrimination or other negative consequences.

Yes | No

References:

Law No. 571/2004, regarding the protection of whistle blowers in public institutions, available link: http://www.cdep.ro/pls/legis/legis_pck.htm_act?ida=54193

Yes: A YES score is earned if there are specific laws against recrimination against public sector whistleblowers. This may include prohibitions on termination, transfer, harassment or other consequences.

No: A NO score is earned if there are no legal protections for public-sector whistleblowers.

48b. In practice, civil servants who report cases of corruption, graft, abuse of power, or abuse of resources are protected from recrimination or other negative consequences.

100 | 75 | 50 | 25 | 0

Comments:

The civil service is so politicized that such a protection would be impossible in the long term.

References:

Calin Emilian Hintea, Chair of the Public Administration Department, Babes Bolyai University.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Public sector whistleblowers can report abuses of power without fear of negative consequences. This may be due to robust mechanisms to protect the identity of whistleblowers or may be due to a culture that encourages disclosure and accountability.

75:

50: Public sector whistleblowers are sometimes able to come forward without negative consequences, but in other cases, whistleblowers are punished for disclosing, either through official or unofficial means.

25:

0: Public sector whistleblowers often face substantial negative consequences, such as losing a job, relocating to a less prominent position, or some form of harassment.

48c. In law, private sector employees who report cases of corruption, graft, abuse of power, or abuse of resources are protected from recrimination or other negative consequences.

Yes | No

References:

The Romanian Criminal Code offers protection to persons reporting crimes. The code also regards as an offense not reporting criminal behavior.

Yes: A YES score is earned if there are specific laws against recrimination against private sector whistleblowers. This may include prohibitions on termination, transfer, harassment or other consequences.

No: A NO score is earned if there are no legal protections for private-sector whistleblowers.

48d. In practice, private sector employees who report cases of corruption, graft, abuse of power, or abuse of resources are protected from recrimination or other negative consequences.

100 | 75 | 50 | 25 | 0

Comments:

There is still a widespread fear that an employee who "spills the beans" may find it difficult to take another job in the same industry.

References:

Calin Emilian Hintea, Chair of the Public Administration Department, Babes Bolyai University.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Private sector whistleblowers can report abuses of power without fear of negative consequences. This may be due to robust mechanisms to protect the identity of whistleblowers or may be due to a culture that encourages disclosure and accountability.

75:

50: Private sector whistleblowers are sometimes able to come forward without negative consequences, but in other cases, whistleblowers are punished for disclosing, either through official or unofficial means.

25:

0: Private sector whistleblowers often face substantial negative consequences, such as losing a job, relocating to a less prominent position, or some form of harassment.

49. In law, is there an internal mechanism (i.e. phone hotline, e-mail address, local office) through which civil servants can report corruption?

100

49a. In law, is there an internal mechanism (i.e. phone hotline, e-mail address, local office) through which civil servants can report corruption?

Yes | No

References:

National Anti-corruption Directorate, set up through government emergency ordinance (OUG) No. 43, April 4, 2002.

National integrity Agency, Law No. 176/2010, available link

: http://www.integritate.eu/UserFiles/File/Legea176_2010/LawNo176_2010_RegardingTheIntegrityInExercisingThePublicOfficials&DignitiesInOrderToMod

Yes: A YES score is earned if there is a mechanism, or multiple mechanisms for multiple national government agencies, through which civil servants can report cases of graft, misuse of public funds, or corruption.

No: A NO score is earned if no such mechanism (or equivalent series of mechanisms) exists.

50. In practice, is the internal mechanism (i.e. phone hotline, e-mail address, local office) through which civil servants can report corruption effective?

44

50a. In practice, the internal reporting mechanism for public sector corruption has a professional, full-time staff.

100 | 75 | 50 | 25 | 0

References:

Calin Emilian Hintea, Chair of the Public Administration Department, Babes Bolyai University.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: The agency/entity has staff sufficient to fulfill its basic mandate.

75:

50: The agency/entity has limited staff, a fact that hinders its ability to fulfill its basic mandate.

25:

0: The agency/entity has no staff, or a limited staff that is clearly unqualified to fulfill its mandate.

50b. In practice, the internal reporting mechanism for public sector corruption receives regular funding.

100 | 75 | 50 | 25 | 0

References:

Calin Emilian Hintea, Chair of the Public Administration Department, Babes Bolyai University.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: The agency/entity has a predictable source of funding that is fairly consistent from year to year. Political considerations are not a major factor in determining agency funding.

75:

50: The agency/entity has a regular source of funding but may be pressured by cuts, or threats of cuts to the agency budget. Political considerations have an effect on agency funding.

25:

0: Funding source is unreliable. Funding may be removed arbitrarily or as retaliation for agency actions.

50c. In practice, the internal reporting mechanism for public sector corruption acts on complaints within a reasonable time period.

100 | 75 | 50 | 25 | 0

Comments:

The mechanisms are mostly PR initiatives, which are not adequately funded and staffed. These structures pass the information to

the government's inspection department, or sometimes to the prosecutor's office, without being able to launch an investigation on their own.

References:

Calin Emilian Hintea, Chair of the Public Administration Department, Babes Bolyai University.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: The agency/entity acts on complaints quickly. While some backlog is expected and inevitable, complaints are acknowledged promptly and investigations into serious abuses move steadily towards resolution. Citizens with simple issues can expect a resolution within a month.

75:

50: The agency/entity acts on complaints quickly, with some exceptions. Some complaints may not be acknowledged, and simple issues may take more than two months to resolve.

25:

0: The agency/entity cannot resolve complaints quickly. Complaints may be unacknowledged for more than a month, and simple issues may take more than three months to resolve. Serious abuses are not investigated with any urgency.

50d. In practice, when necessary, the internal reporting mechanism for public sector corruption initiates investigations.

100 | 75 | 50 | 25 | 0

References:

Calin Emilian Hintea, Chair of the Public Administration Department, Babes Bolyai University.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: When irregularities are discovered, the agency/entity is aggressive in investigating the government or in cooperating with other agencies' investigations.

75:

50: The agency/entity starts investigations, but is limited in its effectiveness. The agency/entity may be slow to act, unwilling to take on politically powerful offenders, reluctant to cooperate with other investigative agencies, or occasionally unable to enforce its judgments.

25:

0: The agency/entity does not effectively investigate. The agency/entity may start investigations but not complete them, may refuse to cooperate with other investigative agencies, or may fail to detect offenders. The agency/entity may be partisan in its application of power.

71
4.3. Government Procurement: Transparency, Fairness, and
Conflicts of Interest Safeguards

51. Is the public procurement process effective?

78

51a. In law, there are regulations addressing conflicts of interest for public procurement officials.

Yes | No

References:

Law No. 337/2006, regarding public procurement, available link: http://www.cdep.ro/pls/legis/legis_pck.htm_act?id=65934

Law No. 188/1999, regarding civil servant status, available link: http://www.politiaromana.ro/legea_188_1999.htm

Law No. 176/2010, regarding the disclosure of personal assets and interests by dignitaries, magistrates and civil servants, available link: http://www.integritate.eu/UserFiles/File/Legea176_2010/LawNo176_2010_RegardingTheIntegrityInExercisingThePublicOfficials&DignitiesInOrderTo

Yes: A YES score is earned if there are specific formal regulations defining and regulating conflicts of interest between official public duty and private interests for public procurement officials. A YES score is earned if such regulations cover all civil servants, including procurement officials.

No: A NO score is earned if no such rules exist.

51b. In law, there is mandatory professional training for public procurement officials.

Yes | No

References:

Law No. 337/2006, available link: http://www.cdep.ro/pls/legis/legis_pck.htm_act?id=65934

Yes: A YES score is earned if public procurement officials receive regular mandatory training to ensure professional standards in supervising the tendering process. A YES score is earned if such training is mandated for portions of the broader civil service, to include procurement officials.

No: A NO score is earned if there is no regular required training of public procurement officials or if training is sporadic, inconsistent, unrelated to procurement processes, or voluntary.

51c. In practice, the conflicts of interest regulations for public procurement officials are enforced.

100 | 75 | 50 | 25 | 0

References:

Calin Emilian Hintea, Chair of the Public Administration Department, Babes Bolyai University.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Regulations regarding conflicts of interest for procurement officials are aggressively enforced.

75:

50: Conflict-of-interest regulations exist, but are flawed. Some violations may not be enforced, or some officials may be exempt from regulations.

25:

0: Conflict-of-interest regulations do not exist, or are consistently ineffective.

51d. In law, there is a mechanism that monitors the assets, incomes and spending habits of public procurement officials.

Yes | No

Comments:

The mechanism consists of legislation and procedures generally applicable for the all civil service.

References:

National Integrity Agency, set up by Law No. 176/2010. Available link:

http://www.integritate.eu/UserFiles/File/Legea176_2010/LawNo176_2010_RegardingTheIntegrityInExercisingThePublicOfficials&DignitiesInOrderToModif

Yes: A YES score is earned if there is a formal mandate to some agency to monitor the assets, incomes and spending habits of public procurement officials, such as an inspector general, or ombudsman.

No: A NO score is earned if no such mandate exists.

51e. In law, major procurements require competitive bidding.

Yes | No

References:

Law No. 337/2006, regarding public procurements, available link : http://www.cdep.ro/pls/legis/legis_pck.htm_act?ida=65934

Yes: A YES score is earned if all major procurements (defined as those greater than 0.5% of GDP) require competitive bidding.

No: A NO score is earned if competitive bidding is not required by law or regulation for major procurement (greater than 0.5% OF GDP).

51f. In law, strict formal requirements limit the extent of sole sourcing.

Yes | No

References:

Law No. 337/2006, regarding public procurements, available link : http://www.cdep.ro/pls/legis/legis_pck.htm_act?ida=65934

Yes: A YES score is earned if sole sourcing is limited to specific, tightly defined conditions, such as when a supplier is the only source of a skill or technology.

No: A NO score is earned if there are no prohibitions on sole sourcing. A NO score is earned if the prohibitions on sole sourcing are general and unspecific.

51g. In law, unsuccessful bidders can instigate an official review of procurement decisions.

Yes | No

References:

Law No. 337/2006, regarding public procurements, available link : http://www.cdep.ro/pls/legis/legis_pck.htm_act?id=65934

Yes: A YES score is earned if there is a formal appeal process for unsuccessful bidders.

No: A NO score is earned if no such process exists.

51h. In law, unsuccessful bidders can challenge procurement decisions in a court of law.

Yes | No

References:

Law No. 337/2006, regarding public procurements, available link : http://www.cdep.ro/pls/legis/legis_pck.htm_act?id=65934

Yes: A YES score is earned if unsuccessful bidders can use the courts to appeal a procurement decision.

No: A NO score is earned if no such process exists.

51i. In law, companies guilty of major violations of procurement regulations (i.e. bribery) are prohibited from participating in future procurement bids.

Yes | No

References:

Laura Stefan, anti-corruption expert, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Yes: A YES score is earned if there are formal procurement blacklists, designed to prevent convicted companies from doing business with the government.

No: A NO score is earned if no such process exists.

51j. In practice, companies guilty of major violations of procurement regulations (i.e. bribery) are prohibited from participating in future procurement bids.

100 | 75 | 50 | 25 | 0

Comments:

The current situation can hardly be called a system, as there is no unified, formal treatment in the law on this matter. The local authorities use their own criteria in prohibiting "blacklisted" companies, focusing on non-performing companies, rather than on bribers. Also, there are legal problems with disqualifying a company from all future procurement bids because they can sue authorities in court based on fair competition rules.

References:

Calin Emilian Hintea, Chair of the Public Administration Department, Babes Bolyai University.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: A system of formal blacklists and cooling off periods is in place for companies convicted of corruption. All companies are subject to this system.

75:

50: A system of formal blacklists and cooling off periods is in place, but the system has flaws. Some procurements or companies may not be affected by the system, or the prohibitions are sometimes not effective.

25:

0: There is no such system, or the system is consistently ineffective in prohibiting future hiring of blacklisted companies.

52. Can citizens access the public procurement process?

71

52a. In law, citizens can access public procurement regulations.

Yes | No

References:

Law No. 337/2006, available link:

http://www.cdep.ro/pls/legis/legis_pck.htm?ida=65934

Government Emergency Ordinance (OUG) 51/1998

Yes: A YES score is earned if procurement rules are, by law, open to the public. These regulations are defined here as the rules governing the competitive procurement process.

No: A NO score is earned if procurement rules are officially secret for any reason or if there are no procurement rules.

52b. In law, the government is required to publicly announce the results of procurement decisions.

Yes | No

References:

Law No. 337/2006, available link:

http://www.cdep.ro/pls/legis/legis_pck.htm?ida=65934

Government Emergency Ordinance (OUG) 51/1998.

Yes: A YES score is earned if the government is required to publicly post or announce the results of the public procurement process. This can be done through major media outlets or on a publicly-accessible government register or log.

No: A NO score is earned if there is no requirement for the government to publicly announce the results of the public procurement process.

52c. In practice, citizens can access public procurement regulations within a reasonable time period.

100 | 75 | 50 | 25 | 0

References:

Calin Emilian Hintea, Chair of the Public Administration Department, Babes Bolyai University.

100: Records are available on-line, or records can be obtained within two days. Records are uniformly available; there are no delays for politically sensitive information. These records are defined here as the rules governing the competitive procurement process.

75:

50: Records take around two weeks to obtain. Some delays may be experienced.

25:

0: Records take more than a month to acquire. In some cases, most records may be available sooner, but there may be persistent delays in obtaining politically sensitive records.

52d. In practice, citizens can access public procurement regulations at a reasonable cost.

100 | 75 | 50 | 25 | 0

References:

Calin Emilian Hintea, Chair of the Public Administration Department, Babes Bolyai University.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Records are free to all citizens, or available for the cost of photocopying. Records can be obtained at little cost, such as by mail, or on-line. These records are defined here as the rules governing the competitive procurement process.

75:

50: Records impose a financial burden on citizens, journalists or NGOs. Retrieving records may require a visit to a specific office, such as a regional or national capital.

25:

0: Retrieving records imposes a major financial burden on citizens. Records costs are prohibitive to most citizens, journalists, or NGOs trying to access this information.

52e. In practice, major public procurements are effectively advertised.

100 | 75 | 50 | 25 | 0

References:

Calin Emilian Hintea, Chair of the Public Administration Department, Babes Bolyai University.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: There is a formal process of advertising public procurements. This may include a government website, newspaper advertising, or other official announcements. All major procurements are advertised in this way. Sufficient time is allowed for bidders to respond to advertisements.

75:

50: There is a formal process of advertisement but it is flawed. Some major procurements may not be advertised, or the advertising process may not be effective. The time between advertisements and bidding may be too short to allow full participation.

25:

0: There is no formal process of advertising major public procurements or the process is superficial and ineffective.

52f. In practice, citizens can access the results of major public procurement bids.

100 | 75 | 50 | 25 | 0

References:

Calin Emilian Hintea, Chair of the Public Administration Department, Babes Bolyai University.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Records of public procurement results are publicly available through a formal process.

75:

50: Records of public procurements are available, but there are exceptions to this practice. Some information may not be available, or some citizens may not be able to access information.

25:

0: This information is not available to the public through an official process.

4.4. Privatization of Public Administrative Functions: Transparency, Fairness, and Conflicts of Interest Safeguards

53. Is the privatization process effective?

83

53a. In law, all businesses are eligible to compete for privatized state assets.

Yes | No

References:

Law No. 337/2006, available link:

http://www.cdep.ro/pls/legis/legis_pck.htm?ida=65934

Government Emergency Ordinance (OUG) 51/1998.

Yes: A YES score is earned if all businesses are equally eligible to compete for privatized assets. A YES score is still earned if the government did not privatize any state-owned assets during the study period.

No: A NO score is earned if any group of businesses (other than those blacklisted due to corruption charges) is excluded by law.

53b. In law, there are regulations addressing conflicts of interest for government officials involved in privatization.

Yes | No

References:

Law No.188/1999, regarding civil servant status, available link : http://www.politiaromana.ro/legea_188_1999.htm

Law No.176/2010, available link:

http://www.integritate.eu/UserFiles/File/Legea176_2010/LawNo176_2010_RegardingTheIntegrityInExercisingThePublicOfficials&DignitiesInOrderToModif

Yes: A YES score is earned if there are specific formal regulations defining and regulating conflicts of interest between official public duty and private interests for privatization officials. A YES score is earned if such regulations cover all civil servants, including privatization officials.

No: A NO score is earned if there are no such formal regulations.

53c. In practice, conflicts of interest regulations for government officials involved in privatization are enforced.

100 | 75 | 50 | 25 | 0

Comments:

Although conflicts-of-interest regulations do exist and are enforced, there are cases when government officials have managed to avoid the rules. Some of these officials have been convicted for criminal behavior.

References:

Calin Emilian Hintea, Chair of the Public Administration Department, Babes Bolyai University.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Regulations regarding conflicts of interest for privatization officials are aggressively enforced.

75:

50: Conflict-of-interest regulations exist, but are flawed. Some violations may not be enforced, or some officials may be exempt from the regulations.

25:

0: Conflict of interest regulations do not exist, or are consistently ineffective.

54. Can citizens access the terms and conditions of privatization bids?

70

54a. In law, citizens can access privatization regulations.

Yes | No

References:

Law No. 337/2006, available link:

http://www.cdep.ro/pls/legis/legis_pck.http_act?ida=65934

Government Emergency Ordinance (OUG) 51/1998.

Yes: A YES score is earned if privatization rules (defined here as the rules governing the competitive privatization process) are, by law, open to the public. Even if privatization is infrequent or rare, the most recent privatization should be used as the basis for scoring this indicator.

No: A NO score is earned if privatization rules are officially secret for any reason or if there are no privatization rules.

54b. In practice, privatizations are effectively advertised.

100 | 75 | **50** | 25 | 0

Comments:

In the past, the advertising process was minimal. Ordinary citizens didn't have access to information concerning this area and many officials benefited from privatizations (receiving bribes, etc.). There are cases of privatizations that encountered problems due to corruption issues. Today, the call for bidders (for what remains to be privatized) is advertised on the official site of the Authority for State Assets Recovery (AVAS) (<http://www.avas.ro/index.php?lang=en>), but not all announcements contain relevant information and the results of the advertised privatization process is hard to find.

References:

Calin Emilian Hintea, Chair of the Public Administration Department, Babes Bolyai University.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: There is a formal process of advertising privatizations. This may include a government website, newspaper advertising, or other official announcements. All major procurements are advertised in this way. Sufficient time is allowed for bidders to respond to advertisements.

75:

50: There is a formal process of advertisement but it is flawed. Some privatizations may not be advertised, or the advertising process may not be effective. The time between advertisements and bidding may be too short to allow full participation.

25:

0: There is no formal process of advertising privatizations or the process is superficial and ineffective.

54c. In law, the government is required to publicly announce the results of privatization decisions.

Yes | No

References:

Law No. 337/2006, available link:
http://www.cdep.ro/pls/legis/legis_pck.htm_act?id=65934

Government Emergency Ordinance (OUG) 51/1998.

Yes: A YES score is earned if the government is required to publicly post or announce the results of the privatization process. This can be done through major media outlets or on a publicly-accessible government register or log.

No: A NO score is earned if there is no requirement for the government to publicly announce the results of the privatization process.

54d. In practice, citizens can access privatization regulations within a reasonable time period.

Comments:

In practice, privatization bids have their specific requirements and the difficulty is to find out in time where and when these requirements are made public.

References:

Calin Emilian Hintea, Chair of the Public Administration Department, Babes Bolyai University.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Records (defined here as the rules governing the competitive privatization process) are available on-line, or records can be obtained within two days. Records are uniformly available; there are no delays for politically sensitive information.

75:

50: Records take around two weeks to obtain. Some delays may be experienced.

25:

0: Records take more than a month to acquire. In some cases, most records may be available sooner, but there may be persistent delays in obtaining politically sensitive records.

54e. In practice, citizens can access privatization regulations at a reasonable cost.

Comments:

The difficulty, resulting in expense, is to find out where and when the records are made public. It may require public pressure in order to access privatization regulations in certain cases.

References:

Calin Emilian Hintea, Chair of the Public Administration Department, Babes Bolyai University.

Cristian Ghinea, Director, Romanian Center for European Policies, November 12, 2010, Bucharest.

100: Records (defined here as the rules governing the competitive privatization process) are free to all citizens, or available for the cost of photocopying. Records can be obtained at little cost, such as by mail, or on-line.

75:

50: Records impose a financial burden on citizens, journalists or NGOs. Retrieving records may require a visit to a specific office, such as a regional or national capital.

25:

0: Retrieving records imposes a major financial burden on citizens. Records costs are prohibitive to most citizens, journalists, or NGOs trying to access this information.

55. In law, is there a national ombudsman, public protector or equivalent agency (or collection of agencies) covering the entire public sector?

100

55a. In law, is there a national ombudsman, public protector or equivalent agency (or collection of agencies) covering the entire public sector?

Yes | No

References:

"People's Lawyer," Law No. 35/1997, available link:
<http://www.avp.ro/leg35.html>

Romanian Constitution, Articles 58-60, available link:
<http://www.cdep.ro/pls/dic/site.page?id=339>

Yes: A YES score is earned if there is a specific agency or set of agencies whose primary mandate is to investigate the actions of government on the behalf of common citizens. This agency or set of agencies should be specifically charged with seeking out and documenting abuses of power.

No: A NO score is earned if no such agency or set of agencies exists, or that function is a secondary concern of a larger body, such as the legislature.

56. Is the national ombudsman effective?

57

56a. In law, the ombudsman is protected from political interference.

Yes | No

Comments:

According to the law, the ombudsman operates under a bi-partisan appointment and parliamentary control.

References:

Law No. 35/1997, available link:
<http://www.avp.ro/leg35.html>

Romanian Constitution, Articles 58-60, available link:
<http://www.cdep.ro/pls/dic/site.page?id=339>

Yes: A YES score is earned only if the agency (or set of agencies) has some formal organizational independence from the government. A YES score is earned even if the entity is legally separate but in practice staffed by partisans.

No: A NO score is earned if the agency is a subordinate part of any government ministry or agency, such as the Department of Interior or the Justice Department.

56b. In practice, the ombudsman is protected from political interference.

100 | 75 | 50 | 25 | 0

Comments:

The ombudsman is not subject to political pressure, as he is widely perceived as an institution that doesn't exist in practice.

References:

Laura Stefan, anti-corruption expert, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Bogdan Chiritoiu, President of the Competition Council, November 12, 2010, Bucharest.

100: This agency (or set of agencies) operates independently of the political process, without incentive or pressure to render favorable judgments in politically sensitive cases. Investigations can operate without hindrance from the government, including access to politically sensitive information.

75:

50: This agency (or set of agencies) is typically independent, yet is sometimes influenced in its work by negative or positive political incentives. This may include public criticism or praise by the government. The ombudsman may not be provided with some information needed to carry out its investigations.

25:

0: This agency (or set of agencies) is commonly influenced by political or personal incentives. This may include conflicting family relationships, professional partnerships, or other personal loyalties. Negative incentives may include threats, harassment or other abuses of power. The ombudsman cannot compel the government to reveal sensitive information.

56c. In practice, the head of the ombudsman agency/entity is protected from removal without relevant justification.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption coordinator, Romanian Academic Society, December 2, 2010, Bucharest.

Bogdan Chiritoiu, President of the Competition Council, November 12, 2010, Bucharest.

100: The director of the ombudsman (or directors of multiple agencies) serves a defined term and cannot be removed without a significant justification through a formal process, such as impeachment for abuse of power.

75:

50: The director of the ombudsman (or directors of multiple agencies) serves a defined term, but can in some cases be removed through a combination of official or unofficial pressure.

25:

0: The director of the ombudsman (or directors of multiple agencies) can be removed at the will of political leadership.

56d. In practice, the ombudsman agency (or agencies) has a professional, full-time staff.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption coordinator, Romanian Academic Society, December 2, 2010, Bucharest.

Bogdan Chiritoiu, President of the Competition Council, November 12, 2010, Bucharest.

100: The ombudsman agency (or agencies) has staff sufficient to fulfill its basic mandate.

75:

50: The ombudsman agency (or agencies) has limited staff that hinders its ability to fulfill its basic mandate.

25:

0: The ombudsman agency (or agencies) has no staff, or a limited staff that is clearly unqualified to fulfill its mandate.

56e. In practice, agency appointments support the independence of the ombudsman agency (or agencies).

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption coordinator, Romanian Academic Society, December 2, 2010, Bucharest.

Bogdan Chiritoiu, President of the Competition Council, November 12, 2010, Bucharest.

100: Appointments to the agency (or agencies) are made based on professional qualifications. Individuals appointed are free of conflicts of interest due to personal loyalties, family connections or other biases. Individuals appointed usually do not have clear political party affiliations.

75:

50: Appointments are usually based on professional qualifications. Individuals appointed may have clear party loyalties.

25:

0: Appointments are often based on political considerations. Individuals appointed often have conflicts of interest due to personal loyalties, family connections or other biases. Individuals appointed often have clear party loyalties.

56f. In practice, the ombudsman agency (or agencies) receives regular funding.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption coordinator, Romanian Academic Society, December 2, 2010, Bucharest.

Bogdan Chiritoiu, President of the Competition Council, November 12, 2010, Bucharest.

100: The agency (or agencies) has a predictable source of funding that is fairly consistent from year to year. Political considerations are not a major factor in determining agency funding.

75:

50: The agency (or agencies) has a regular source of funding, but may be pressured by cuts, or threats of cuts to the agency budget. Political considerations have an effect on agency funding.

25:

0: Funding source is unreliable. Funding may be removed arbitrarily or as retaliation for agency functions.

56g. In practice, the ombudsman agency (or agencies) makes publicly available reports.

100 | 75 | 50 | 25 | 0

Comments:

The National Ombudsman (Avocatul Poporului) is widely perceived as a weak and inconsequential institution, almost invisible to the public. The Annual Report is the only official paper available to the public.

References:

Laura Stefan, anti-corruption coordinator, Romanian Academic Society, December 2, 2010, Bucharest.

Bogdan Chiritoiu, President of the Competition Council, November 12, 2010, Bucharest.

100: The agency (or agencies) makes regular, publicly available, substantial reports either to the legislature or directly to the public outlining the full scope of its work.

75:

50: The agency (or agencies) makes publicly available reports to the legislature and/or directly to the public that are sometimes delayed or incomplete.

25:

0: The agency (or agencies) makes no reports of its activities, or makes reports that are consistently out of date, unavailable to the public, or insubstantial.

56h. In practice, when necessary, the national ombudsman (or equivalent agency or agencies) initiates investigations.

100 | 75 | 50 | 25 | 0

Comments:

The Romanian Ombudsman is not very active because he does not have the right to impose penalties, and, therefore, the impact of any investigations on specific institutions of concern is not relevant.

References:

Laura Stefan, anti-corruption coordinator, Romanian Academic Society, December 2, 2010, Bucharest.

Bogdan Chiritoiu, President of the Competition Council, November 12, 2010, Bucharest.

100: The agency aggressively starts investigations — or participates fully with cooperating agencies' investigations — into judicial misconduct. The agency is fair in its application of this power.

75:

50: The agency will start or cooperate in investigations, but often relies on external pressure to set priorities, or has limited effectiveness when investigating. The agency, though limited in effectiveness, is still fair in its application of power.

25:

0: The agency rarely investigates on its own or cooperates in other agencies' investigations, or the agency is partisan in its application of this power.

56i. In practice, when necessary, the national ombudsman (or equivalent agency or agencies) imposes penalties on offenders.

100 | 75 | 50 | 25 | 0

Comments:

The ombudsman does not have the right to impose penalties on offenders.

References:

Laura Stefan, anti-corruption coordinator, Romanian Academic Society, December 2, 2010, Bucharest.

Bogdan Chiritoiu, President of the Competition Council, November 12, 2010, Bucharest.

100: When rules violations are discovered, the agency is aggressive in penalizing offenders or in cooperating with other agencies who penalize offenders.

75:

50: The agency enforces rules, but is limited in its effectiveness. The agency may be slow to act, unwilling to take on politically powerful offenders, resistant to cooperating with other agencies, or occasionally unable to enforce its judgments.

25:

0: The agency does not effectively penalize offenders. The agency may make judgments but not enforce them, does not cooperate with other agencies in enforcing penalties, or may fail to make reasonable judgments against offenders. The agency may be partisan in its application of power.

56j. In practice, the government acts on the findings of the ombudsman agency (or agencies).



Comments:

The government acts on the findings of the Ombudsman, usually in cases of petty administrative irregularities, where redress does not impose significant cost (financial or political).

References:

Laura Stefan, anti-corruption coordinator, Romanian Academic Society, December 2, 2010, Bucharest.

Bogdan Chiritoiu, President of the Competition Council, November 12, 2010, Bucharest.

100: Ombudsman's reports are taken seriously, with negative findings drawing prompt corrective action.

75:

50: In most cases, ombudsman's reports are acted on, though some exceptions may occur for politically sensitive issues, or particularly resistant agencies.

25:

0: Ombudsman's reports are often ignored, or given superficial attention. Ombudsman's reports do not lead to policy changes.

56k. In practice, the ombudsman agency (or agencies) acts on citizen complaints within a reasonable time period.



References:

Laura Stefan, anti-corruption coordinator, Romanian Academic Society, December 2, 2010, Bucharest.

Bogdan Chiritoiu, President of the Competition Council, November 12, 2010, Bucharest.

100: The agency (or agencies) acts on complaints quickly. While some backlog is expected and inevitable, complaints are acknowledged promptly and investigations into serious abuses move steadily towards resolution. Citizens with simple issues can expect a resolution within a month.

75:

50: The agency (or agencies) acts on complaints quickly, with some exceptions. Some complaints may not be acknowledged, and simple issues may take more than two months to resolve.

25:

0: The agency (or agencies) cannot resolve complaints quickly. Complaints may be unacknowledged for more than a month, and simple issues may take more than three months to resolve. Serious abuses are not investigated with any urgency.

57. Can citizens access the reports of the ombudsman?

83

57a. In law, citizens can access reports of the ombudsman(s).

Yes

No

Comments:

Some reports are available on the institution's website (<http://www.avp.ro>), but most of them are not available officially.

References:

Law No. 35/1997, available link:

<http://www.avp.ro/leg35.html>

Law No. 544/2001.

Yes: A YES score is earned if all ombudsman reports are publicly available.

No: A NO score is earned if any ombudsman reports are not publicly available. This may include reports made exclusively to the legislature or the executive, which those bodies may choose not to distribute the reports.

57b. In practice, citizens can access the reports of the ombudsman(s) within a reasonable time period.

100

75

50

25

0

References:

Laura Stefan, anti-corruption coordinator, Romanian Academic Society, December 2, 2010, Bucharest.

Bogdan Chiritoiu, President of the Competition Council, November 12, 2010, Bucharest.

100: Reports are available on-line, or records can be obtained within two days. Records are uniformly available; there are no delays for politically sensitive information.

75:

50: Reports take around two weeks to obtain. Some delays may be experienced.

25:

0: Reports take more than a month to acquire. In some cases, most records may be available sooner, but there may be persistent delays in obtaining politically sensitive records.

57c. In practice, citizens can access the reports of the ombudsman(s) at a reasonable cost.

References:

Laura Stefan, anti-corruption coordinator, Romanian Academic Society, December 2, 2010, Bucharest.

Bogdan Chiritoiu, President of the Competition Council, November 12, 2010, Bucharest.

100: Reports are free to all citizens, or available for the cost of photocopying. Reports can be obtained at little cost, such as by mail, or on-line.

75:

50: Reports impose a financial burden on citizens, journalists or NGOs. Retrieving reports may require a visit to a specific office, such as a regional or national capital.

25:

0: Retrieving reports imposes a major financial burden on citizens. Reports costs are prohibitive to most citizens, journalists, or NGOs trying to access this information.

5.2. Supreme Audit Institution

58. In law, is there a national supreme audit institution, auditor general or equivalent agency covering the entire public sector?

100

58a. In law, is there a national supreme audit institution, auditor general or equivalent agency covering the entire public sector?

Yes | No

References:

Romanian Court of Accounts.

Law No. 94/1992, republished, available link:

<http://www.curteadeconturi.ro/sites/ccr/EN/Pages/Law.aspx>

Romania's Constitution, Article 140, available link:

<http://www.curteadeconturi.ro/sites/ccr/EN/Pages/Constitution.aspx>

Yes: A YES score is earned if there is a specific agency whose primary mandate is to audit and track the movement of money through the government. This agency should be specifically charged to investigate and document the misuse of funds. A system of agencies located in each department is equivalent.

No: A NO score is earned if no such agency exists, or that function is a secondary concern of a larger body, such as the executive.

59. Is the supreme audit institution effective?

69

59a. In law, the supreme audit institution is protected from political interference.

Yes | No

Comments:

The Romanian Court of Accounts is, in principle, an independent state agency, supervised by Parliament.

References:

Romanian Court of Accounts.

Law No. 94/1992, republished, available link:

<http://www.curteadeconturi.ro/sites/ccr/EN/Pages/Law.aspx>

Romania's Constitution, Article 140, available link:

<http://www.curteadeconturi.ro/sites/ccr/EN/Pages/Constitution.aspx>

Yes: A YES score is earned only if the agency has some formal organizational independence from the government. A YES score is earned even if the entity is legally separate but in practice staffed by partisans.

No: A NO score is earned if the agency is a subordinate part of any government ministry or agency, such as the Department of Interior or the Justice Department.

59b. In practice, the head of the audit agency is protected from removal without relevant justification.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption coordinator, Romanian Academic Society, December 2, 2010, Bucharest.

Bogdan Chiritoiu, President of the Competition Council, November 12, 2010, Bucharest.

100: The director of the agency serves a defined term and cannot be removed without a significant justification through a formal process, such as impeachment for abuse of power.

75:

50: The director of the agency serves a defined term, but can in some cases be removed through a combination of official or unofficial pressure.

25:

0: The director of the agency can be removed at the will of political leadership.

59c. In practice, the audit agency has a professional, full-time staff.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption coordinator, Romanian Academic Society, December 2, 2010, Bucharest.

Bogdan Chiritoiu, President of the Competition Council, November 12, 2010, Bucharest.

100: The agency has staff sufficient to fulfill its basic mandate.

75:

50: The agency has limited staff that hinders its ability to fulfill its basic mandate.

25:

0: The agency has no staff, or a limited staff that is clearly unqualified to fulfill its mandate.

59d. In practice, audit agency appointments support the independence of the agency.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption coordinator, Romanian Academic Society, December 2, 2010, Bucharest.

Bogdan Chiritoiu, President of the Competition Council, November 12, 2010, Bucharest.

100: Appointments to the agency are made based on professional qualifications. Individuals appointed are free of conflicts of interest due to personal loyalties, family connections or other biases. Individuals appointed usually do not have clear political party affiliations.

75:

50: Appointments are usually based on professional qualifications. Individuals appointed may have clear party loyalties.

25:

0: Appointments are often based on political considerations. Individuals appointed often have conflicts of interest due to personal loyalties, family connections or other biases. Individuals appointed often have clear party loyalties.

59e. In practice, the audit agency receives regular funding.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption coordinator, Romanian Academic Society, December 2, 2010, Bucharest.

Bogdan Chiritoiu, President of the Competition Council, November 12, 2010, Bucharest.

100: The agency has a predictable source of funding that is fairly consistent from year to year. Political considerations are not a major factor in determining agency funding.

75:

50: The agency has a regular source of funding, but may be pressured by cuts, or threats of cuts to the agency budget. Political considerations have an effect on agency funding.

25:

0: Funding source is unreliable. Funding may be removed arbitrarily or as retaliation for agency actions.

59f. In practice, the audit agency makes regular public reports.

100 | 75 | 50 | 25 | 0

Comments:

When completing important reports, there may be delays of one year or even more. Also, The Court of Accounts sometimes fails to follow up on its findings.

References:

Laura Stefan, anti-corruption coordinator, Romanian Academic Society, December 2, 2010, Bucharest.

Bogdan Chiritoiu, President of the Competition Council, November 12, 2010, Bucharest.

100: The agency makes regular, publicly available, substantial reports to the legislature and/or to the public directly outlining the full scope of its work.

75:

50: The agency makes publicly available reports to the legislature and/or to the public directly that are sometimes delayed or incomplete.

25:

0: The agency makes no reports of its activities, or makes reports that are consistently out of date, unavailable to the public, or insubstantial.

59g. In practice, the government acts on the findings of the audit agency.

100 | 75 | 50 | 25 | 0

Comments:

Having in mind that the relevance of the findings are doubtful, as they carefully avoid the sensitive areas of public spending, and that the reports of the Court of Accounts are usually written in vague terms, the purpose is actually to minimize the pressure on government to act. Audit reports rarely lead to policy changes.

References:

Laura Stefan, anti-corruption coordinator, Romanian Academic Society, December 2, 2010, Bucharest.

Bogdan Chiritoiu, President of the Competition Council, November 12, 2010, Bucharest.

100: Audit agency reports are taken seriously, with negative findings drawing prompt corrective action.

75:

50: In most cases, audit agency reports are acted on, though some exceptions may occur for politically sensitive issues, or particularly resistant agencies.

25:

0: Audit reports are often ignored, or given superficial attention. Audit reports do not lead to policy changes.

59h. In practice, the audit agency is able to initiate its own investigations.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption coordinator, Romanian Academic Society, December 2, 2010, Bucharest.

100: The supreme audit institution can control the timing and pace of its investigations without any input from the executive or legislature.

75:

50: The supreme audit institution can generally decide what to investigate, and when, but is subject to pressure from the executive or legislature on politically sensitive issues.

25:

0: The supreme audit institution must rely on approval from the executive or legislature before initiating investigations. Politically sensitive investigations are almost impossible to move forward on.

60. Can citizens access reports of the supreme audit institution?

75

60a. In law, citizens can access reports of the audit agency.

Yes | No

Comments:

Every year, the Romanian Court of Accounts presents an annual report in front of Parliament, published in the Official Journal of Romania (Monitorul Oficial) and available to the public.

References:

Romanian Constitution, Article 140 (2), available link:
http://www.cdep.ro/pls/dic/site_page?id=339

Law No. 544/2001, regarding free access to information of public interest, available link:
http://www.cdep.ro/pls/legis/legis_pck.htm_act_text?id=30060

Yes: A YES score is earned if all supreme auditor reports are available to the general public.

No: A NO score is earned if any auditor reports are not publicly available. This may include reports made exclusively to the legislature or the executive, which those bodies may choose not to distribute.

60b. In practice, citizens can access audit reports within a reasonable time period.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption coordinator, Romanian Academic Society, December 2, 2010, Bucharest.

Bogdan Chiritoiu, President of the Competition Council, November 12, 2010, Bucharest.

100: Reports are available on-line, or records can be obtained within two days. Reports are uniformly available; there are no delays for politically sensitive information.

75:

50: Reports take around two weeks to obtain. Some delays may be experienced.

25:

0: Reports take more than a month to acquire. In some cases, most reports may be available sooner, but there may be persistent delays in obtaining politically sensitive records.

60c. In practice, citizens can access the audit reports at a reasonable cost.

100 | 75 | **50** | 25 | 0

Comments:

The expense results from the poor quality of the audit reports — from the delay in their publication, but also from the entities being surveyed. The problematic issues aren't included in the audit report and one has to find the important information at one's own expense.

References:

Laura Stefan, anti-corruption coordinator, Romanian Academic Society, December 2, 2010, Bucharest.

Bogdan Chiritoiu, President of the Competition Council, November 12, 2010, Bucharest.

100: Reports are free to all citizens, or available for the cost of photocopying. Reports can be obtained at little cost, such as by mail, or on-line.

75:

50: Reports impose a financial burden on citizens, journalists or NGOs. Retrieving reports may require a visit to a specific office, such as a regional or national capital.

25:

0: Retrieving reports imposes a major financial burden on citizens. Report costs are prohibitive to most citizens, journalists, or NGOs trying to access this information.

81
5.3. Taxes and Customs: Fairness and Capacity

61. In law, is there a national tax collection agency?

100

61a. In law, is there a national tax collection agency?

Yes | No

References:

National Agency for Fiscal Administration (ANAF), Law No. 86/2003 and Government Decision No. 109/2009.

Yes: A YES score is earned if there is a national agency formally mandated to collect taxes.

No: A NO score is earned if that function is spread over several agencies, or does not exist. A NO score is earned if national government ministries can collect taxes independently.

62. Is the tax collection agency effective?

62a. In practice, the tax collection agency has a professional, full-time staff.

100 | 75 | 50 | 25 | 0

References:

Dorin Mantescu, general director in the Ministry of Finance.

Sebastian Bodu, Euro MP, former head of the Romanian Tax Office (ANAF).

100: The agency has staff sufficient to fulfill its basic mandate.

75:

50: The agency has limited staff that hinders its ability to fulfill its basic mandate.

25:

0: The agency has no staff, or a limited staff that is clearly unqualified to fulfill its mandate.

62b. In practice, the tax agency receives regular funding.

100 | 75 | 50 | 25 | 0

References:

Dorin Mantescu, general director in the Ministry of Finance.

Sebastian Bodu, Euro MP, former head of the Romanian Tax Office (ANAF).

100: The agency has a predictable source of funding that is fairly consistent from year to year. Political considerations are not a major factor in determining agency funding.

75:

50: The agency has a regular source of funding, but may be pressured by cuts, or threats of cuts to the agency budget. Political considerations have an effect on agency funding.

25:

0: Funding source is unreliable. Funding may be removed arbitrarily or as retaliation for agency actions.

63. In practice, are tax laws enforced uniformly and without discrimination?

75

63a. In practice, are tax laws enforced uniformly and without discrimination?

100 | 75 | 50 | 25 | 0

References:

Dorin Mantescu, general director in the Ministry of Finance.

Sebastian Bodu, Euro MP, former head of the Romanian Tax Office (ANAF).

100: Tax laws (which may be economically unfair as written) are enforced consistently for all citizens. No general group of citizens is more or less likely to evade tax law than another.

75:

50: Tax laws are generally enforced consistently, but some exceptions exist. For example, some groups may occasionally evade tax law. Some arbitrary and discriminatory tax rules exist.

25:

0: Tax law is unequally applied. Some groups of citizens are consistently more or less likely to evade tax law than others. Tax regulations are, as a rule, written to be discriminatory and/or arbitrary.

64. In law, is there a national customs and excise agency?

100

64a. In law, is there a national customs and excise agency?

Yes | No

References:

National Customs Authority, Government Decision No.110, February 18, 2009, available link:

http://www.customs.ro/UserFiles/HG%20110_18.02.2009%20privind%20organizarea%20si%20functionarea%20ANV.pdf

Yes: A YES score is earned if there is an agency formally mandated to collect excises and inspect customs.

No: A NO score is earned if that function is spread over several agencies, or does not exist.

65. Is the customs and excise agency effective?

100

65a. In practice, the customs and excise agency has a professional, full-time staff.

100 | 75 | 50 | 25 | 0

References:

Dorin Mantescu, general director in the Ministry of Finance.

Sebastian Bodu, Euro MP, former head of the Romanian Tax Office (ANAF).

100: The agency has staff sufficient to fulfill its basic mandate.

75:

50: The agency has limited staff that hinders its ability to fulfill its basic mandate.

25:

0: The agency has no staff, or a limited staff that is clearly unqualified to fulfill its mandate.

65b. In practice, the customs and excise agency receives regular funding.

100 | 75 | 50 | 25 | 0

References:

Dorin Mantescu, general director in the Ministry of Finance.

Sebastian Bodu, Euro MP, former head of the Romanian Tax Office (ANAF).

100: The agency has a predictable source of funding that is fairly consistent from year to year. Political considerations are not a major factor in determining agency funding.

75:

50: The agency has a regular source of funding, but may be pressured by cuts, or threats of cuts to the agency budget. Political considerations have an effect on agency funding.

25:

0: Funding source is unreliable. Funding may be removed arbitrarily or as retaliation for agency actions.

66. In practice, are customs and excise laws enforced uniformly and without discrimination?

75

66a. In practice, are customs and excise laws enforced uniformly and without discrimination?

100 | 75 | 50 | 25 | 0

Comments:

Normally, there should have been an upgrade on this indicator, as the tax authorities, in general, have been much more proactive and less lenient toward evaders since the beginning of the crisis, reflecting the government's policy to increase revenues.

However, in parallel, there have also been substantial excise alignments to the EU levels on "sensitive" products (tobacco, alcohol, and fuel), which create large price differentials with the neighboring non-EU countries, i.e. an increase in smuggling. As a result, the picture is mixed: more genuine effort by the authorities, but also more difficult conditions in which to operate.

References:

Dorin Mantescu, general director in the Ministry of Finance.

Sebastian Bodu, Euro MP, former head of the Romanian Tax Office (ANAF).

100: Customs and excise laws (which may be economically unfair as written) are enforced consistently for all citizens. No general group of citizens is more or less likely to evade customs than another.

75:

50: Customs and excise laws are generally enforced consistently, but some exceptions exist. For example, some groups may occasionally evade customs requirements.

25:

0: Customs and excise laws are unequally applied. Some groups of citizens are consistently more or less likely to evade customs and excise laws than others.

5.4. Oversight of State-Owned Enterprises

67. In law, is there an agency, series of agencies, or equivalent mechanism overseeing state-owned companies?

100

67a. In law, is there an agency, series of agencies, or equivalent mechanism overseeing state-owned companies?

Yes | No

References:

State-owned companies are supervised by a multitude of ministries and agencies. For example, public companies (regies autonomes) are managed by the ministries of Economy, Transportation, Environment, Agriculture, Communication, etc.

A special governmental authority, The Authority for State Assets Recovery (AVAS), is in charge of managing joint stock companies with the state as majority shareholder for companies currently slated for privatization. Available link: <http://www.avas.gov.ro/index.php?lang=ro&id=2688>

The list of laws and regulations governing public and state-owned companies is long and constantly changing.

Yes: A YES score is earned if there is an agency, series of agencies, or equivalent mechanism tasked with overseeing the conduct and performance of state-owned companies on behalf of the public. A YES score can be earned if several government agencies or ministries oversee different state-owned enterprises. State-owned companies are defined as companies owned in whole or in part by the government.

No: A NO score is earned if this function does not exist, or if some state-owned companies are free from government oversight.

68. Is the agency, series of agencies, or equivalent mechanism overseeing state-owned companies effective?

40

68a. In law, the agency, series of agencies, or equivalent mechanism overseeing state-owned companies is protected from political interference.

Yes | No

References:

Laura Stefan, anti-corruption coordinator, Romanian Academic Society, December 2, 2010, Bucharest.

Bogdan Chiritoiu, President of the Competition Council, November 12, 2010, Bucharest.

Yes: A YES score is earned only if the agency, series of agencies, or equivalent mechanism has some formal operational independence from the government. A YES score is earned even if the entity is legally separate but in practice staffed by partisans.

No: A NO score is earned if the agency, series of agencies, or equivalent mechanism is a subordinate part of any government ministry or agency.

68b. In practice, the agency, series of agencies, or equivalent mechanism overseeing state-owned companies has a professional, full-time staff.

100 | 75 | 50 | 25 | 0

Comments:

The structure implied by the mechanisms overseeing state-owned companies is broad and complex. The various ministries and agencies in charge have their own approach and the staff isn't always qualified to fulfill the mandate.

References:

Laura Stefan, anti-corruption coordinator, Romanian Academic Society, December 2, 2010, Bucharest.

Bogdan Chiritoiu, President of the Competition Council, November 12, 2010, Bucharest.

100: The agency, series of agencies, or equivalent mechanism has staff sufficient to fulfill its basic mandate.

75:

50: The agency, series of agencies, or equivalent mechanism has limited staff that hinders its ability to fulfill its basic mandate.

25:

0: The agency, series of agencies, or equivalent mechanism has no staff, or a limited staff that is clearly unqualified to fulfill its mandate.

68c. In practice, the agency, series of agencies, or equivalent mechanism overseeing state-owned companies receives regular funding.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption coordinator, Romanian Academic Society, December 2, 2010, Bucharest.

Bogdan Chiritoiu, President of the Competition Council, November 12, 2010, Bucharest.

100: The agency, series of agencies, or equivalent mechanism has a predictable source of funding that is fairly consistent from year to year. Political considerations are not a major factor in determining agency funding.

75:

50: The agency, series of agencies, or equivalent mechanism has a regular source of funding, but may be pressured by cuts, or threats of cuts to the agency budget. Political considerations have an effect on agency funding.

25:

0: Funding source is unreliable. Funding may be removed arbitrarily or as retaliation for agency functions.

68d. In practice, when necessary, the agency, series of agencies, or equivalent mechanism overseeing state-owned companies independently initiates investigations.

100 | 75 | 50 | 25 | 0

Comments:

The mechanism overseeing state-owned companies implies independently initiating investigations, but these investigations are

usually aimed at companies without serious problems. National companies, like Hidroelectrica or CNADNR (National Company for Motorways and National Roads in Romania), that may raise serious issues have been spared.

References:

Laura Stefan, anti-corruption coordinator, Romanian Academic Society, December 2, 2010, Bucharest.

Bogdan Chiritoiu, President of the Competition Council, November 12, 2010, Bucharest.

100: When irregularities are discovered, the agency, series of agencies, or equivalent mechanism is aggressive in investigating and/or in cooperating with other investigative bodies.

75:

50: The agency, series of agencies, or equivalent mechanism starts investigations, but is limited in its effectiveness or in its cooperation with other investigative agencies. The agency, series of agencies, or equivalent mechanism may be slow to act, unwilling to take on politically powerful offenders, or occasionally unable to enforce its judgments.

25:

0: The agency, series of agencies, or equivalent mechanism does not effectively investigate financial irregularities or cooperate with other investigative agencies. The agency, series of agencies, or equivalent mechanism may start investigations but not complete them, or may fail to detect offenders. The agency may be partisan in its application of power.

68e. In practice, when necessary, the agency, series of agencies, or equivalent mechanism overseeing state-owned companies imposes penalties on offenders.

100 | 75 | 50 | 25 | 0

Comments:

This is a result of the intense politicization of the sector and maybe one of the weakest areas in the system of governance in Romania. National companies – like Hidroelectrica, CNADNR (National Company for Motorways and National Roads in Romania), or National Railways Company (CFR) – that raise serious issues have been spared and have never been penalized.

References:

Laura Stefan, anti-corruption coordinator, Romanian Academic Society, December 2, 2010, Bucharest.

Bogdan Chiritoiu, President of the Competition Council, November 12, 2010, Bucharest.

100: When rules violations are discovered, the agency, series of agencies, or equivalent mechanism is aggressive in penalizing offenders and/or in cooperating with other agencies that impose penalties.

75:

50: The agency, series of agencies, or equivalent mechanism enforces rules, but is limited in its effectiveness or reluctant to cooperate with other agencies. The agency, series of agencies, or equivalent mechanism may be slow to act, unwilling to take on politically powerful offenders, or occasionally unable to enforce its judgments.

25:

0: The agency, series of agencies, or equivalent mechanism does not effectively penalize offenders or refuses to cooperate with other agencies that enforce penalties. The agency, series of agencies, or equivalent mechanism may make judgments but not enforce them, or may fail to make reasonable judgments against offenders. The agency, series of agencies, or equivalent mechanism may be partisan in its application of power.

69. Can citizens access the financial records of state-owned companies?

55

69a. In law, citizens can access the financial records of state-owned companies.

Yes | No

Comments:

State-owned companies or companies in which the state holds the majority of shares tend to behave as if this law doesn't apply to their case. Court decisions on this matter incline to make Law No. 544/2001 applicable in their case as well, although the judiciary practice is not very consistent.

References:

Law No. 544/2001, regarding free access to information of public interest,

available link:

http://www.cdep.ro/pls/legis/legis_pck.htm_act_text?id=30060

Yes: A YES score is earned if the financial information of all state-owned companies is required by law to be public. State-owned companies are defined as companies owned in whole or in part by the government.

No: A NO score is earned if any category of state-owned company is exempt from this rule, or no such rules exist.

69b. In practice, the financial records of state-owned companies are regularly updated.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption coordinator, Romanian Academic Society, December 2, 2010, Bucharest.

Bogdan Chiritoiu, President of the Competition Council, November 12, 2010, Bucharest.

100: State-owned companies always publicly disclose financial data, which is generally accurate and up to date.

75:

50: State-owned companies disclose financial data, but it is flawed. Some companies may misstate financial data, file the information behind schedule, or not publicly disclose certain data.

25:

0: Financial data is not publicly available, or is consistently superficial or otherwise of no value.

69c. In practice, the financial records of state-owned companies are audited according to international accounting standards.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption coordinator, Romanian Academic Society, December 2, 2010, Bucharest.

Bogdan Chiritoiu, President of the Competition Council, November 12, 2010, Bucharest.

100: Financial records of all state-owned companies are regularly audited by a trained third party auditor using accepted international standards.

75:

50: Financial records of state-owned companies are regularly audited, but exceptions may exist. Some companies may use flawed or deceptive accounting procedures, or some companies may be exempted from this requirement.

25:

0: State-owned companies are not audited, or the audits have no functional value. The auditors may collude with the companies in providing misleading or false information to the public.

69d. In practice, citizens can access the financial records of state-owned companies within a reasonable time period.

100 | 75 | 50 | **25** | 0

References:

Laura Stefan, anti-corruption coordinator, Romanian Academic Society, December 2, 2010, Bucharest.

Bogdan Chiritoiu, President of the Competition Council, November 12, 2010, Bucharest.

100: Records are available on-line, or records can be obtained within two days. Records are uniformly available; there are no delays for politically sensitive information.

75:

50: Records take around two weeks to obtain. Some delays may be experienced.

25:

0: Records take more than a month to acquire. In some cases, most records may be available sooner, but there may be persistent delays in obtaining politically sensitive records.

69e. In practice, citizens can access the financial records of state-owned companies at a reasonable cost.

100 | 75 | **50** | 25 | 0

References:

Laura Stefan, anti-corruption coordinator, Romanian Academic Society, December 2, 2010, Bucharest.

Bogdan Chiritoiu, president of the Competition Council, November 12, 2010, Bucharest.

100: Records are free to all citizens, or available for the cost of photocopying. Records can be obtained at little cost, such as by mail, or on-line.

75:

50: Records impose a financial burden on citizens, journalists or NGOs. Retrieving records may require a visit to a specific office, such as a regional or national capital.

25:

0: Retrieving records imposes a major financial burden on citizens. Records costs are prohibitive to most citizens, journalists, or NGOs trying to access this information.

70a. In law, anyone may apply for a business license.

Yes | No

References:

Romanian Constitution, Article 45, available link: http://www.cdep.ro/pls/dic/site_page?id=339

Law No. 31/1990, regarding commercial companies, available link: http://www.cdep.ro/pls/legis/legis_pck.htm_act_text?id=1550

Yes: A YES score is earned if no particular group or category of citizens is excluded from applying for a business license, when required. A YES score is also earned if basic business licenses are not required.

No: A NO score is earned if any group of citizens are categorically excluded from applying for a business license, when required.

70b. In law, a complaint mechanism exists if a business license request is denied.

Yes | No

References:

Law No. 31/1990, regarding commercial companies, available link: http://www.cdep.ro/pls/legis/legis_pck.htm_act_text?id=1550

Yes: A YES score is earned if there is a formal process for appealing a rejected license.

No: A NO score is earned if no such mechanism exists.

70c. In practice, citizens can obtain any necessary business license (i.e. for a small import business) within a reasonable time period.

100 | 75 | 50 | 25 | 0

References:

Doing Business 2011, "Making a Difference for Entrepreneurs," the World Bank and the International Finance Corporation, November 4, 2010, available link: <http://www.doingbusiness.org/~media/fpdkm/doing%20business/documents/annual-reports/english/db11-fullreport.pdf>

Bogdan Chiritoiu, president of the Competition Council, November 12, 2010, Bucharest.

100: Licenses are not required, or licenses can be obtained within roughly one week.

75:

50: Licensing is required and takes around one month. Some groups may be delayed up to a three months

25:

0: Licensing takes more than three months for most groups. Some groups may wait six months to one year to get necessary licenses.

70d. In practice, citizens can obtain any necessary business license (i.e. for a small import business) at a reasonable cost.

100 | 75 | 50 | 25 | 0

References:

Doing Business 2011, "Making a Difference for Entrepreneurs," The World Bank and the International Finance Corporation, November 4, 2010; available link: <http://www.doingbusiness.org/~media/fpdkm/doing%20business/documents/annual-reports/english/db11-fullreport.pdf>

Bogdan Chiritoiu, president of the Competition Council, November 12, 2010, Bucharest.

100: Licenses are not required, or licenses are free. Licenses can be obtained at little cost to the organization, such as by mail, or on-line.

75:

50: Licenses are required, and impose a financial burden on the organization. Licenses may require a visit to a specific office, such as a regional or national capital.

25:

0: Licenses are required, and impose a major financial burden on the organization. Licensing costs are prohibitive to the organization.

71. Are there transparent business regulatory requirements for basic health, environmental, and safety standards?

100

71a. In law, basic business regulatory requirements for meeting public health standards are transparent and publicly available.

Yes | No

Comments:

Acquiring complete and accurate information regarding these standards represents an issue for an entrepreneur when it comes to time and costs.

References:

There are numerous laws and regulations governing these requirements, imposed at the national level, but also at the EU Level. Some of them, regarding health standards for employees, can be found on the website at: <http://www.inspectmun.ro/Legislatie/legislatie.html>

Yes: A YES score is earned if basic regulatory requirements for meeting public health standards are publicly accessible and transparent.

No: A NO score is earned if such requirements are not made public or are otherwise not transparent.

71b. In law, basic business regulatory requirements for meeting public environmental standards are transparent and publicly available.

Yes | No

Comments:

Acquiring complete and accurate information regarding these standards represents an issue for an entrepreneur when it comes to time and cost.

References:

There are numerous laws and regulations governing these requirements, imposed at the national level, but also at the EU Level.

Government Emergency Ordinance No. 195/2005, regarding environment protection, can be found on the website at:

http://www.customs.ro/UserFiles/CustomFiles/OUG_195_2005.pdf

Yes: A YES score is earned if basic regulatory requirements for meeting public environmental standards are publicly accessible and transparent.

No: A NO score is earned if such requirements are not made public or are otherwise not transparent.

71c. In law, basic business regulatory requirements for meeting public safety standards are transparent and publicly available.

Yes | No

Comments:

Acquiring complete and accurate information regarding these standards represents an issue for an entrepreneur when it comes to time and costs.

References:

There are numerous laws and regulations governing these requirements, imposed at the national level, but also at the EU Level. Some of them, regarding safety standards for employees, can be found on the website

at: <http://www.inspectmun.ro/Legislatie/legislatie.html>

Yes: A YES score is earned if basic regulatory requirements for meeting public safety standards are publicly accessible and transparent.

No: A NO score is earned if such requirements are not made public or are otherwise not transparent.

72. Does government effectively enforce basic health, environmental, and safety standards on businesses?

50

72a. In practice, business inspections by government officials to ensure public health standards are being met and are carried out in a uniform and even-handed manner.

100 | 75 | 50 | 25 | 0

References:

Bogdan Chiritoiu, president of the Competition Council, November 12, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: Business inspections by the government to ensure that public health standards are being met are designed and carried out in such a way as to ensure comprehensive compliance by all businesses with transparent regulatory requirements.

75:

50: Business inspections by the government to ensure public health standards are met are generally carried out in an even-handed way though exceptions exist. Bribes are occasionally paid to extract favorable treatment or expedited processing.

25:

0: Business inspections to ensure that public health standards are met are routinely carried out by government officials in an ad hoc, arbitrary fashion designed to extract extra payments from businesses in exchange for favorable treatment.

72b. In practice, business inspections by government officials to ensure public environmental standards are being met are carried out in a uniform and even-handed manner.

100 | 75 | 50 | 25 | 0

Comments:

Although business inspections are usually carried out in an even-handed way, there are credible reports of cases when regulations are enforced selectively by regulatory and inspection agencies, either to extract bribes or because of political bias.

References:

Bogdan Chiritoiu, president of the Competition Council, November 12, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: Business inspections by the government to ensure that public environmental standards are being met are designed and carried out in such a way as to ensure comprehensive compliance by all businesses with transparent regulatory requirements.

75:

50: Business inspections by the government to ensure public environmental standards are met are generally carried out in an even-handed way though exceptions exist. Bribes are occasionally paid to extract favorable treatment or expedited processing.

25:

0: Business inspections to ensure that public environmental standards are met are routinely carried out by government officials in an ad hoc, arbitrary fashion designed to extract extra payments from businesses in exchange for favorable treatment.

72c. In practice, business inspections by government officials to ensure public safety standards are being met are carried out in a uniform and even-handed manner.

100 | 75 | 50 | 25 | 0

Comments:

Although business inspections are usually carried out in an even-handed way, there are credible reports of cases when regulations are enforced selectively by regulatory and inspection agencies, either to extract bribes or because of political bias.

References:

Bogdan Chiritoiu, president of the Competition Council, November 12, 2010, Bucharest.

Otilia Nutu, World Bank expert, December 2, 2010, Bucharest.

100: Business inspections by the government to ensure that public safety standards are being met are designed and carried out in such a way as to ensure comprehensive compliance by all businesses with transparent regulatory requirements.

75:

50: Business inspections by the government to ensure public safety standards are met are generally carried out in an even-handed way though exceptions exist. Bribes are occasionally paid to extract favorable treatment or expedited processing.

25:

0: Business inspections to ensure that public safety standards are met are routinely carried out by government officials in an ad hoc, arbitrary fashion designed to extract extra payments from businesses in exchange for favorable treatment.

Category 6. Anti-Corruption Legal Framework, Judicial Impartiality, and Law Enforcement Professionalism

6.1. ~~84~~ Anti-Corruption Law

73. Is there legislation criminalizing corruption?

100

73a. In law, attempted corruption is illegal.

Yes | No

References:

Law No.78/2000, regarding the prevention, discovery and sanctioning of corruption, available link:
http://www.cdep.ro/pls/legis/legis_pck.http_act?ida=24566

Criminal Code.

Yes: A YES score is earned if corruption laws include attempted acts.

No: A NO score is earned if this is not illegal.

73b. In law, extortion is illegal.

Yes | No

References:

Criminal Code (Law No.15/1968, republished as Law No.140/1996), available link:
http://www.cdep.ro/pls/legis/legis_pck.http_act?ida=32756

Yes: A YES score is earned if corruption laws include extortion. Extortion is defined as demanding favorable treatment (such as a bribe) to withhold a punishment.

No: A NO score is earned if this is not illegal.

73c. In law, offering a bribe (i.e. active corruption) is illegal.

Yes | No

References:

Criminal Code, Law No.78/2000, regarding the prevention, discovery and sanctioning of corruption, available link:
http://www.cdep.ro/pls/legis/legis_pck.htm_act?ida=24566

Yes: A YES score is earned if offering a bribe is illegal.

No: A NO score is earned if this is not illegal.

73d. In law, receiving a bribe (i.e. passive corruption) is illegal.

Yes | No

References:

Criminal Code, Law No.78/2000, regarding the prevention, discovery and sanctioning of corruption, available link:
http://www.cdep.ro/pls/legis/legis_pck.htm_act?ida=24566

Yes: A YES score is earned if receiving a bribe is illegal.

No: A NO score is earned if this is not illegal.

73e. In law, bribing a foreign official is illegal.

Yes | No

References:

Criminal Code, Law No.78/2000, regarding the prevention, discovery and sanctioning of corruption, available link:
http://www.cdep.ro/pls/legis/legis_pck.htm_act?ida=24566

Law No. 161/2003, amending Law No.78/2000, available link:
http://www.cdep.ro/pls/legis/legis_pck.htm_act?ida=42939

Yes: A YES score is earned if bribing a foreign official is illegal.

No: A NO score is earned if this is not illegal.

73f. In law, using public resources for private gain is illegal.

Yes | No

References:

Criminal Code, republished in Law No.140/1996.

Yes: A YES score is earned if using public resources for private gain is illegal.

No: A NO score is earned if this is not illegal.

73g. In law, using confidential state information for private gain is illegal.

Yes | No

References:

Criminal Code, Law No.140/1996.

Yes: A YES score is earned if using confidential state information for private gain is illegal.

No: A NO score is earned if this is not illegal.

73h. In law, money laundering is illegal.

Yes | No

References:

Law No. 656/2002, regarding the prevention and sanctioning of money laundering, available link:
http://www.cdep.ro/pls/legis/legis_pck.htm_act?id=40736

Yes: A YES score is earned if money laundering is illegal. Money laundering is defined as concealing the origin of funds to hide wrongdoing or avoid confiscation.

No: A NO score is earned if this is not illegal.

73i. In law, conspiracy to commit a crime (i.e. organized crime) is illegal.

Yes | No

References:

Criminal Code, Law No. 39/2003, regarding the prevention and fight against organized crime, available link:
http://www.cdep.ro/pls/legis/legis_pck.htm_act?id=41423

Yes: A YES score is earned if organized crime is illegal.

No: A NO score is earned if this is not illegal.

74. In law, is there an agency (or group of agencies) with a legal mandate to address corruption?

100

74a. In law, is there an agency (or group of agencies) with a legal mandate to address corruption?

Yes | No

References:

National Anti-Corruption Directorate (DNA), enforced by the government emergency ordinance No. 43, April 4, 2002.

National Integrity Agency (ANI), authority in charge with investigating conflicts-of-interest in public office, enforced by Law No.144/2007.

Yes: A YES score is earned if an agency is specifically mandated to address corruption. A YES score is earned if there are several agencies or entities with specific roles in fighting corruption, including special prosecutorial entities.

No: A NO score is earned if no agency (or group of agencies/entities) is specifically mandated to prevent or prosecute corruption.

75. Is the anti-corruption agency effective?

78

75a. In law, the anti-corruption agency (or agencies) is protected from political interference.

Yes | No

References:

Government Emergency Ordinance No. 43, April 4, 2002, regarding the National Anti-Corruption Directorate (DNA).

Law No. 144/2007, regarding ANI.

Yes: A YES score is earned only if the agency (or agencies) has some formal organizational or operational independence from the government. A YES score is earned even if the agency/agencies is legally separate but in practice staffed by partisans.

No: A NO score is earned if the agency (or agencies) is a subordinate part of any government ministry or agency, such as the Department of Interior or the Justice Department, in such a way that limits its operational independence.

75b. In practice, the anti-corruption agency (or agencies) is protected from political interference.

100 | 75 | 50 | 25 | 0

Comments:

The National Anti-Corruption Directorate (DNA) deserves a 75 score. In the case of the ANI (National Integrity Agency) the score is 50.

Even in these conditions, the trend is encouraging compared with the previous period: in spite of the repeated political initiatives to dismantle or “defang” the agencies, they have survived and continue to operate according to the initial plan, relatively effective and without political bias.

References:

Laura Stefan, anti-corruption expert, Romanian Academic Society, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Dan Tapalaga, coordinating editor, Hotnews Agency.

100: This agency (or agencies) operates independently of the political process, without incentive or pressure to render favorable judgments in politically sensitive cases. Investigations can operate without hindrance from the government, including access to politically sensitive information.

75:

50: This agency (or agencies) is typically independent, yet is sometimes influenced in its work by negative or positive political incentives. This may include favorable or unfavorable public criticism by the government, political appointments, or other forms of influence. The agency (or agencies) may not be provided with some information needed to carry out its investigations.

25:

0: This agency (or agencies) is commonly influenced by political or personal incentives. These may include conflicting family relationships, professional partnerships, or other personal loyalties. Negative incentives may include threats, harassment or other abuses of power. The agency (or agencies) cannot compel the government to reveal sensitive information.

75c. In practice, the head of the anti-corruption agency (or agencies) is protected from removal without relevant justification.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption expert, Romanian Academic Society, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Dan Tapalaga, coordinating editor, Hotnews Agency.

100: The director(s) cannot be removed without a significant justification through a formal process, such as impeachment for abuse of power.

75:

50: The director(s) can in some cases be removed through a combination of official or unofficial pressure.

25:

0: The director(s) can be removed at the will of political leadership.

75d. In practice, appointments to the anti-corruption agency (or agencies) are based on professional criteria.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption expert, Romanian Academic Society, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Dan Tapalaga, coordinating editor, Hotnews Agency.

100: Appointments to the agency (or agencies) are made based on professional qualifications. Individuals appointed are free of conflicts of interest arising from personal loyalties, family connections or other biases. Individuals appointed usually do not have clear political party affiliations.

75:

50: Appointments are usually based on professional qualifications. Individuals appointed may have clear party loyalties, however.

25:

0: Appointments are often based on political considerations. Individuals appointed often have conflicts of interest arising from personal loyalties, family connections or other biases. Individuals appointed often have clear party loyalties.

75e. In practice, the anti-corruption agency (or agencies) has a professional, full-time staff.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption expert, Romanian Academic Society, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Dan Tapalaga, coordinating editor, Hotnews Agency.

100: The agency (or agencies) has staff sufficient to fulfill its basic mandate.

75:

50: The agency (or agencies) has limited staff, or staff without necessary qualifications to fulfill its basic mandate.

25:

0: The agency (or agencies) has no staff, or a limited staff, that is clearly unqualified to fulfill its mandate.

75f. In practice, the anti-corruption agency (or agencies) receives regular funding.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption expert, Romanian Academic Society, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Dan Tapalaga, coordinating editor, Hotnews Agency.

100: The agency (or agencies) has a predictable source of funding that is fairly consistent from year to year. Political considerations are not a major factor in determining agency funding.

75:

50: The agency (or agencies) has a regular source of funding, but may be pressured by cuts, or threats of cuts to the agency budget. Political considerations have an effect on agency funding.

25:

0: The agency's funding sources are unreliable. Funding may be removed arbitrarily or as retaliation for agency actions.

75g. In practice, the anti-corruption agency (or agencies) makes regular public reports.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption expert, Romanian Academic Society, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Dan Tapalaga, coordinating editor, Hotnews Agency.

100: The agency (or agencies) makes regular, publicly available, substantial reports to the legislature and/or to the public directly outlining the full scope of its work.

75:

50: The agency (or agencies) makes publicly available reports to the legislature that are sometimes delayed or incomplete.

25:

0: The agency (or agencies) makes no reports of its activities, or makes reports that are consistently out of date, unavailable to the public, or insubstantial.

75h. In practice, the anti-corruption agency (or agencies) has sufficient powers to carry out its mandate.

100 | 75 | 50 | 25 | 0

Comments:

The agencies have sufficient powers to carry out their mandates. The problem lies in the fact that there are cases of corruption among politicians (Monica Iacob Ridzi, Adrian Nastase, Miron Mitrea, etc.) where investigations encountered obstacles and could not be carried out properly because other public institutions interfered.

References:

Laura Stefan, anti-corruption expert, Romanian Academic Society, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Dan Tapalaga, coordinating editor, Hotnews Agency.

100: The agency (or agencies) has powers to gather information, including politically sensitive information. The agency (or agencies) can question suspects, order arrests and bring suspects to trial (or rely on related agencies or law enforcement authorities to perform such functions).

75:

50: The agency (or agencies) has most of the powers needed to carry out its mandate with some exceptions.

25:

0: The agency (or agencies) lacks significant powers which limit its effectiveness.

75i. In practice, when necessary, the anti-corruption agency (or agencies) independently initiates investigations.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption expert, Romanian Academic Society, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Dan Tapalaga, coordinating editor, Hotnews Agency.

100: When irregularities are discovered, the agency (or agencies) is aggressive in investigating the government or in cooperating with other investigative agencies.

75:

50: The agency (or agencies) starts investigations, but is limited in its effectiveness or is reluctant to cooperate with other investigative agencies. The agency (or agencies) may be slow to act, unwilling to take on politically powerful offenders, or occasionally unable to enforce its judgments.

25:

0: The agency (or agencies) does not effectively investigate or does not cooperate with other investigative agencies. The agency (or agencies) may start investigations but not complete them, or may fail to detect offenders. The agency (or agencies) may be partisan in its application of power.

76. Can citizens access the anti-corruption agency?

88

76a. In practice, the anti-corruption agency (or agencies) acts on complaints within a reasonable time period.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption expert, Romanian Academic Society, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Dan Tapalaga, coordinating editor, Hotnews Agency.

100: The agency (or agencies) acts on complaints quickly. While some backlog is expected and inevitable, complaints are acknowledged promptly and investigations into serious abuses move steadily towards resolution. Citizens with simple issues can expect a resolution within a month.

75:

50: The agency (or agencies) acts on complaints quickly, with some exceptions. Some complaints may not be acknowledged, and simple issues may take more than two months to resolve.

25:

0: The agency (or agencies) cannot resolve complaints quickly. Complaints may be unacknowledged for more than a month, and simple issues may take more than three months to resolve. Serious abuses are not investigated with any urgency.

76b. In practice, citizens can complain to the anti-corruption agency (or agencies) without fear of recrimination.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption expert, Romanian Academic Society, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Dan Tapalaga, coordinating editor, Hotnews Agency.

100: Whistleblowers can report abuses of power without fear of negative consequences. This may be due to robust mechanisms to protect the identity of whistleblowers, or may be due to a culture that encourages disclosure and accountability.

75:

50: Whistleblowers are sometimes able to come forward without negative consequences, but in other cases, whistleblowers are punished for disclosing, either through official or unofficial means.

25:

0: Whistleblowers often face substantial negative consequences, such as losing a job, relocating to a less prominent position, or some form of harassment.

88
6.3. Judicial Independence, Fairness, and Citizen Access to Justice

77. Is there an appeals mechanism for challenging criminal judgments?

83

77a. In law, there is a general right of appeal.

Yes | No

References:

Criminal Procedure Code.

Yes: A YES score is earned if there is a formal process of appeal for challenging criminal judgments.

No: A NO score is earned if there is no such process.

77b. In practice, appeals are resolved within a reasonable time period.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption expert, Romanian Academic Society, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Dan Tapalaga, coordinating editor, Hotnews Agency.

100: Appeals are acted upon quickly. While some backlog is expected and inevitable, appeals are acknowledged promptly and cases move steadily towards resolution.

75:

50: Appeals are generally acted upon quickly but with some exceptions. Some appeals may not be acknowledged, and simple cases may take years to resolve.

25:

0: Most appeals are not resolved in a timely fashion. Appeals may go unacknowledged for months or years and simple cases may never be resolved.

77c. In practice, citizens can use the appeals mechanism at a reasonable cost.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption expert, Romanian Academic Society, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Dan Tapalaga, coordinating editor, Hotnews Agency.

100: In most cases, the appeals mechanism is an affordable option to middle class citizens seeking to challenge criminal judgments. Attorney fees are not a barrier to appeals.

75:

50: In some cases, the appeals mechanism is not an affordable option to middle class citizens seeking to challenge criminal judgments. Attorney fees present somewhat of a barrier to pursuing appeal.

25:

0: The prohibitive cost of utilizing the appeals mechanism prevents middle class citizens from challenging criminal judgments. Attorney fees greatly discourage the use of the appeals process.

78. In practice, do judgments in the criminal system follow written law?

75

78a. In practice, do judgments in the criminal system follow written law?

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption expert, Romanian Academic Society, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Dan Tapalaga, coordinating editor, Hotnews Agency.

100: Judgments in the criminal system are made according to established legal code and conduct. There are no exceptional cases in which individuals are treated by a separate process. Political interference, bribery, cronyism or other flaws are rarely factors in judicial outcomes.

75:

50: Judgments in the criminal system usually follow the protocols of written law. There are sometimes exceptions when political concerns, corruption or other flaws in the system decide outcomes.

25:

0: Judgments in the criminal system are often decided by factors other than written law. Bribery and corruption in the criminal judicial process are common elements affecting decisions.

79. In practice, are judicial decisions enforced by the state?

75

79a. In practice, are judicial decisions enforced by the state?

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption expert, Romanian Academic Society, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Dan Tapalaga, coordinating editor, Hotnews Agency.

100: Judicial decisions are enforced quickly regardless of what is being decided or who is appearing before the court. Failure to comply brings penalties enforced by the state.

75:

50: Judicial decisions are generally enforced by the state, with some exceptions. Certain areas of law may be ignored, or certain parties appearing before the courts may evade or delay enforcement.

25:

0: Judicial decisions are often ignored. The state lacks the will or capacity to consistently enforce these decisions.

80. Is the judiciary able to act independently?

94

80a. In law, the independence of the judiciary is guaranteed.

Yes | No

References:

Romanian Constitution, Chapter VI, Articles 124 -134. available link: http://www.cdep.ro/pls/dic/site_page?id=339

Law No. 303/2004, regarding magistrates, available link: http://www.cdep.ro/pls/legis/legis_pck_http_act?ida=50320

Law No. 304/2004, regarding the organization of the judiciary, available link: http://www.cdep.ro/pls/legis/legis_pck_http_act?ida=50322

Yes: A YES score is earned if there are formal rules establishing that the judiciary is independent from political interference by the executive and legislative branches. Independence includes financial issues (drafting, allocation, and managing the budget of the courts).

No: A NO score is earned if there are no formal rules establishing an independent judiciary.

80b. In practice, national-level judges are protected from political interference.

100 | 75 | 50 | 25 | 0

Comments:

In practice, there is only indirect political interference, because, in Romania, there has never been lustration (the restoration of credibility to a government by purging of perpetrators of crimes committed under an earlier regime). After 2003, the promotion of national-level judges has been by the Superior Council of Magistrates.

References:

Laura Stefan, anti-corruption expert, Romanian Academic Society, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Dan Tapalaga, coordinating editor, Hotnews Agency.

100: National-level judges operate independently of the political process, without incentive or pressure to render favorable judgments in politically sensitive cases. Judges never comment on political debates. Individual judgments are rarely praised or criticized by political figures.

75:

50: National-level judges are typically independent, yet are sometimes influenced in their judgments by negative or positive political incentives. This may include favorable or unfavorable treatment by the government or public criticism. Some judges may be demoted or relocated in retaliation for unfavorable decisions.

25:

0: National-level judges are commonly influenced by politics and personal biases or incentives. This may include conflicting family relationships, professional partnerships, or other personal loyalties. Negative incentives may include demotion, pay cuts, relocation, threats or harassment.

80c. In law, there is a transparent and objective system for distributing cases to national-level judges.

Yes | No

Comments:

The cases are distributed to national-level judges by an electronic, random system.

References:

Law No. 304/2004, regarding the organization of the judiciary, available link: http://www.cdep.ro/pls/legis/legis_pck.htm_act?ida=50322

Yes: A YES score is earned if there is an objective system that is transparent to the public that equitably or randomly assigns cases to individual judges. The executive branch does not control this process.

No: A NO score is earned if the case assignment system is non-transparent or subjective where judges themselves have influence over which cases they adjudicate. A NO score is also earned if the executive branch controls this process.

80d. In law, national-level judges are protected from removal without relevant justification.

Yes | No

References:

Law No. 303/2004, regarding magistrates, available link: http://www.cdep.ro/pls/legis/legis_pck.htm_act?ida=50320

Yes: A YES score is earned if there are specific, formal rules for removal of a justice. Removal must be related to abuse of power or other offenses related to job performance.

No: A NO score is earned if justices can be removed without justification, or for purely political reasons. A NO score is earned if the removal process is not transparent, or not based on written rules.

81. Are judges safe when adjudicating corruption cases?

81a. In practice, in the last year, no judges have been physically harmed because of adjudicating corruption cases.

Yes | No

References:

Laura Stefan, anti-corruption expert, Romanian Academic Society, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Dan Tapalaga, coordinating editor, Hotnews Agency.

Yes: A YES score is earned if there were no documented cases of judges being assaulted because of their involvement in a corruption case during the specific study period. YES is a positive score.

No: A NO score is earned if there were any documented cases of assault to a judge related to his/her participation in a corruption trial. Corruption is defined broadly to include any abuses of power, not just the passing of bribes.

81b. In practice, in the last year, no judges have been killed because of adjudicating corruption cases.

Yes | No

References:

Laura Stefan, anti-corruption expert, Romanian Academic Society, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Dan Tapalaga, coordinating editor, Hotnews Agency.

Yes: A YES score is earned if there were no documented cases of judges being killed related to their involvement in a corruption case during the study period. YES is a positive score.

No: A NO score is earned if there were any documented cases where a judge was killed because of his/her participation in a corruption trial. The relationship between a mysterious death and a judge's involvement in a case may not be clear, however the burden of proof here is low. If it is a reasonable assumption that a judge was killed in relation to his or her work on corruption issues, then the indicator is scored as a NO. Corruption is defined broadly to include any abuses of power, not just the passing of bribes.

82. Do citizens have equal access to the justice system?

86

82a. In practice, judicial decisions are not affected by racial or ethnic bias.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption expert, Romanian Academic Society, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Dan Tapalaga, coordinating editor, Hotnews Agency.

100: Judicial decisions are not affected by racial or ethnic bias.

75:

50: Judicial decisions are generally not affected by racial or ethnic bias, with some exceptions. Some groups may be occasionally discriminated against, or some groups may occasionally receive favorable treatment.

25:

0: Judicial decisions are regularly distorted by racial or ethnic bias. Some groups consistently receive favorable or unfavorable treatment by the courts.

82b. In practice, women have full access to the judicial system.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption expert, Romanian Academic Society, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Dan Tapalaga, coordinating editor, Hotnews Agency.

100: Women enjoy full and equal status in the eyes of the courts. There are no exceptions or practices in which women are treated differently by the judicial system. For this indicator, discrimination against women should reflect specific biases that confront women in the justice system as opposed to difficulties resulting from broader socio-economic disadvantages or discrimination against women.

75:

50: Women generally have use of the judicial system, with some exceptions. In some cases, women may be limited in their access to courts, or gender biases may affect court outcomes. For this indicator, discrimination against women should reflect specific biases that confront women in the justice system as opposed to difficulties resulting from broader socio-economic disadvantages or discrimination against women.

25:

0: Women generally have less access to the courts than men. Court decisions are commonly distorted by gender bias. Women may have to go through intermediaries to interact with the court, or are unable to present evidence. For this indicator, discrimination against women should reflect specific biases that confront women in the justice system as opposed to difficulties resulting from broader socio-economic disadvantages or discrimination against women.

82c. In law, the state provides legal counsel for defendants in criminal cases who cannot afford it.

Yes | No

References:

Criminal Procedure Code.

Yes: A YES score is earned if the government is required by law to provide impoverished defendants with legal counsel to defend themselves against criminal charges.

No: A NO score is earned if there is no legal requirement for the government to provide impoverished defendants with legal counsel to defend themselves against criminal charges.

82d. In practice, the state provides adequate legal counsel for defendants in criminal cases who cannot afford it.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption expert, Romanian Academic Society, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Dan Tapalaga, coordinating editor, Hotnews Agency.

100: State-provided legal aid is basic, but well-trained and effective in representing the rights of impoverished defendants.

75:

50: State-provided legal aid is available, but flawed. Legal aid may be unavailable to some impoverished defendants. Legal aid/public defenders may be sometimes unable or unwilling to competently represent all defendants.

25:

0: State-provided legal aid is unavailable to most impoverished defendants. State legal aid/public defenders may be consistently incompetent or unwilling to fairly represent all defendants.

82e. In practice, citizens earning the median yearly income can afford to bring a legal suit.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption expert, Romanian Academic Society, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Dan Tapalaga, coordinating editor, Hotnews Agency.

100: In most cases, the legal system is an affordable option to middle class citizens seeking to redress a grievance. Attorney fees do not represent a major cost to citizens.

75:

50: In some cases, the legal system is an affordable option to middle class citizens seeking to redress a grievance. In other cases, the cost is prohibitive. Attorney fees are a significant consideration in whether to bring a case.

25:

0: The cost of engaging the legal system prevents middle class citizens from filing suits. Attorney fees are high enough to discourage most citizens from bringing a case.

82f. In practice, a typical small retail business can afford to bring a legal suit.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption expert, Romanian Academic Society, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Dan Tapalaga, coordinating editor, Hotnews Agency.

100: In most cases, the legal system is an affordable option to a small retail business seeking to redress a grievance. Attorneys fees do not represent a major cost to small businesses.

75:

50: In some cases, the legal system is an affordable option to a small retail business seeking to redress a grievance. In other cases, the cost is prohibitive. Attorney fees are a significant consideration in whether to bring a case.

25:

0: The cost of engaging the legal system prevents small businesses from filing suits. Attorney fees are high enough to discourage most small businesses from bringing a case.

82g. In practice, all citizens have access to a court of law, regardless of geographic location.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption expert, Romanian Academic Society, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Dan Tapalaga, coordinating editor, Hotnews Agency.

100: Courtrooms are always accessible to citizens at low cost, either through rural courthouses or through a system of traveling magistrates.

75:

50: Courts are available to most citizens. Some citizens may be unable to reach a courtroom at low cost due to location.

25:

0: Courts are unavailable to some regions without significant travel on the part of citizens.

6.4. Law Enforcement: Conflicts of Interest Safeguards and Professionalism

83. Is the law enforcement agency (i.e. the police) effective?

42

83a. In practice, appointments to the law enforcement agency (or agencies) are made according to professional criteria.

100 | 75 | 50 | 25 | 0

Comments:

Although appointments are made according to official rank, the professional criteria are many times superseded by party loyalties. Plus, the heads of the local law enforcement agencies make decisions tempered by the opinion of the heads of the local parties governing the country.

References:

Laura Stefan, anti-corruption expert, Romanian Academic Society, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Dan Tapalaga, coordinating editor, Hotnews Agency.

100: Appointments to the agency (or agencies) are made based on professional qualifications. Individuals appointed are free of conflicts of interest due to personal loyalties, family connections or other biases. Individuals appointed usually do not have clear political party affiliations.

75:

50: Appointments are usually based on professional qualifications. Individuals appointed may have clear party loyalties, however.

25:

0: Appointments are often based on political considerations. Individuals appointed often have conflicts of interest due to personal loyalties, family connections or other biases. Individuals appointed often have clear party loyalties.

83b. In practice, the law enforcement agency (or agencies) has a budget sufficient to carry out its mandate.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption expert, Romanian Academic Society, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Dan Tapalaga, coordinating editor, Hotnews Agency.

100: The agency (or agencies) has a budget sufficient to fulfill its basic mandate.

75:

50: The agency (or agencies) has limited budget, generally considered somewhat insufficient to fulfill its basic mandate.

25:

0: The agency (or agencies) has no budget or an obviously insufficient budget that hinders the agency's ability to fulfill its mandate.

83c. In practice, the law enforcement agency is protected from political interference.

100 | 75 | 50 | 25 | 0

Comments:

Appointments are sometimes made not necessarily according to official rank and professional criteria, but to party loyalties. Many times, the heads of the local law enforcement agencies make decisions having in mind the opinion of the heads of the local party governing the country.

References:

Laura Stefan, anti-corruption expert, Romanian Academic Society, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Dan Tapalaga, coordinating editor, Hotnews Agency.

100: The agency (or agencies) operates independently of the political process and has operational independence from the government. All laws can be enforced regardless of the status of suspects or the sensitivity of the investigation.

75:

50: The agency (or agencies) is typically independent, yet is sometimes influenced in its investigations or enforcement actions by negative or positive political incentives. This may include favorable or unfavorable public criticism by the

government or other forms of influence. The agency (or agencies) may not be provided with some information needed to carry out its investigations.

25:

0: The investigative and enforcement work of the agency (or agencies) is commonly influenced by political actors or the government. These may include conflicting family relationships, professional partnerships, or other personal loyalties. Negative incentives may include threats, harassment or other abuses of power by the government.

84. Can law enforcement officials be held accountable for their actions?

79

84a. In law, there is an independent mechanism for citizens to complain about police action.

Yes | No

References:

General Anti-Corruption Directorate, created by Law No. 161/2005, available link: http://www.cdep.ro/pls/legis/legis_pck.htm?act?ida=57145

Yes: A YES score is earned if there is a formal process or mechanism by which citizens can complain about police actions. A YES score is earned if a broader mechanism such as the national ombudsman, human rights commission, or anti-corruption agency has jurisdiction over the police.

No: A NO score is earned if there is no such mechanism

84b. In practice, the independent law enforcement complaint reporting mechanism responds to citizen's complaints within a reasonable time period.

100 | 75 | 50 | 25 | 0

Comments:

The problem lies in the fact that there are cases when complaints aren't investigated for arbitrary reasons — law enforcement officials have an interest in not acknowledging them.

References:

Laura Stefan, anti-corruption expert, Romanian Academic Society, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Dan Tapalaga, coordinating editor, Hotnews Agency.

100: The agency/entity responds to complaints quickly. While some backlog is expected and inevitable, complaints are acknowledged promptly and investigations into serious abuses move steadily towards resolution. Citizens with simple issues can expect a resolution within a month.

75:

50: The agency/entity responds to complaints quickly, with some exceptions. Some complaints may not be acknowledged, and simple issues may take more than two months to resolve.

25:

0: The agency/entity cannot resolve complaints quickly. Complaints may be unacknowledged for more than a month, and simple issues may take three to six months to resolve. Serious abuses are not investigated with any urgency.

84c. In law, there is an agency/entity to investigate and prosecute corruption committed by law enforcement officials.

Yes | No

References:

General Anti-Corruption Directorate, set up by Law No.161/2005, available link: http://www.cdep.ro/pls/legis/legis_pck.htm?act?id=57145

Yes: A YES score is earned if there is an agency/entity specifically mandated to investigate corruption-related activity within law enforcement. This agency/entity may be internal to the police department (provided it has a degree of independence, such as an internal affairs unit) or part of a broader national mechanism such as the national ombudsman, human rights commission, or anti-corruption agency.

No: A NO score is earned if no such agency/entity exists.

84d. In practice, when necessary, the agency/entity independently initiates investigations into allegations of corruption by law enforcement officials.

100 | 75 | 50 | 25 | 0

Comments:

There are situations when the investigations of complaints are stopped for arbitrary reasons — law enforcement officials being interested in covering up misconduct.

References:

Laura Stefan, anti-corruption expert, Romanian Academic Society, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Dan Tapalaga, coordinating editor, Hotnews Agency.

100: When irregularities are discovered, the agency/entity is aggressive in investigating government law enforcement officials or in cooperating with other investigative agencies.

75:

50: The agency/entity starts investigations, but is limited in its effectiveness or is reluctant to cooperate with other investigative agencies. The agency/entity may be slow to act, unwilling to take on politically powerful offenders, or occasionally unable to enforce its judgments.

25:

0: The agency/entity does not effectively investigate or does not cooperate with other investigative agencies. The agency may start investigations but not complete them, or may fail to detect offenders. The agency may be partisan in its application of power.

84e. In law, law enforcement officials are not immune from criminal proceedings.

Yes | No

References:

Law No. 360/2002, regarding the status of the police force, available link: http://www.politiaromana.ro/statutul_politistului.htm

Yes: A YES score is earned if law enforcement officers are fully accountable for their actions under the law and can be investigated and prosecuted for their actions.

No: A NO score is earned if law enforcement enjoys any special protection from criminal investigation or prosecution.

84f. In practice, law enforcement officials are not immune from criminal proceedings.

100 | 75 | 50 | 25 | 0

References:

Laura Stefan, anti-corruption expert, Romanian Academic Society, former executive in the Ministry of Justice, December 2, 2010, Bucharest.

Dan Tapalaga, coordinating editor, Hotnews Agency.

100: Law enforcement officers are subject to criminal investigation for official misconduct. No crimes are exempt from prosecution.

75:

50: Law enforcement is generally subject to criminal investigation but exceptions may exist where criminal actions are overlooked by the police or prosecutors. Some crimes may be exempt from prosecution, such as actions taken in the line of duty.

25:

0: Law enforcement enjoys a general protection from most criminal investigation. This may be due to a formal immunity or an informal understanding that the law enforcement community protects itself.