

Country: ROMANIA

European Network of Councils for the Judiciary (ENCJ)

Reseau européen des Conseils de la Justice (RECJ)

Questionnaire indicators independence and accountability of the Judiciary 2022-2023

Methodology used for filling out questionnaire ¹	
Who filled out the questionnaire	Superior Council of Magistracy
Was a national expert group set up to validate the reply?	x□ Yes
	□ No
Who were the members of the national expert group?	
(names and positions)	
- Bogdan Iancu, Associate Professor, Dr. iur, LL.M., University	
of Bucharest (Faculty of Political Science, Department of	
Political and Constitutional History and Theory)	
 Cristian Clipa, Associate Professor, Dr, University of 	
Timișoara (Faculty of Law, Department of Public Law)	

¹ See paragraph 3.3 page 24 of the IA&Q report 2018-2019

INDEPENDENCE INDICATORS

Formal independence of the Judiciary as a whole

1. Legal basis of the independence of the Judiciary as a whole	
1a. Is the independence of the Judiciary or the judge formally	⊠ Yes
guaranteed ² ?	□ No
1b. If the answer to 1a. is yes, is this done in/by:	☐ Constitution or equivalent text ³
	⊠ Law⁴
	☐ Constitutional court
1c. Are judges formally bound only by law?	⊠ Yes
	□ No
1d. If the answer to 1c. is yes, is this done in/by:	☐ Constitution or equivalent text
	⊠ Law
	☐ Constitutional court
1e. Are judges appointed permanently until retirement?	⊠ Yes ⁵

⁵ A judge may be removed from office as a disciplinary sanction, according to Law 303/2004 (removal from office is the most serious disciplinary sanction provided by the law). According to Article 201 para 1 of Law no.303/2022: Judges and prosecutors shall be removed from office in the following cases:

- *a)* resignation;
- b) retirement, according to the law;
- c) transfer to another office, according to the law;
- d) professional incapacity;
- *e) as a disciplinary sanction;*
- *f) final conviction of the judge/prosecutor*
- g) postponement of the application of the punishment, waiver of the application of the punishment, ordered by a final court decision, as well as waiver of the criminal investigation confirmed by the judge of the preliminary chamber, except for the situations in which these solutions were ordered for crimes committed unintentionally, for which the corresponding section of the Superior Council of Magistracy considers that it does not affect the prestige of justice;
- *h)* the failure of having a specialised expertise as provided for in Article 199 carried out, for reasons attributable to the judge or prosecutor
- i) failure to comply with the conditions laid down in Article 5 para 3 let. (a) and (e) namely has Romanian citizenship, domicile in Romania and full capacity to exercise, it is medically and psychologically capable of exercising its function.

² See guestion 1b.

³ Equivalence means here specifically that the position of the Judiciary cannot be changed by simple majority.

⁴ That can be changed by simple majority.

	□ No
1f. If the answer to 1e. is yes, is this guaranteed in/by:	oxtimes Constitution or equivalent text
	⊠ Law
	☐ Constitutional court
1g. Is the mechanism to fix the salary of judges determined by law?	⊠ Yes
	□ No
1h. If the answer to 1g is yes, is this guaranteed in:	☐ Constitution or equivalent text
	⊠ Law
1i. Is there a formal mechanism to adjust the salaries of judges to	☐ Yes
keep pace with the average development of salaries in the country	⊠ No
and/or with inflation?	
1j. Is the involvement of the Judiciary in law and judicial reform ⁶	⊠ Yes
formally guaranteed?	□ No
1k. If the answer to 1j. is yes, is this done in:	□ Constitution or equivalent text
	⊠ Law
	☐ Constitutional court
1l. If the answer to 1j. is yes, does the Judiciary have:	☐ The right to put forward a
	formal proposal to change a law
	proposals
1m. Is the Judiciary involved in the formation and the	⊠ Yes
•	
implementation of judicial reform?	□ No
1n. Has the Judiciary initiated judicial reform?	□ Yes
•	⊠ No

2. Organizational autonomy of the Judiciary		
2a. Does your country have a Council for the Judiciary ⁷ ?	⊠ Yes	
	□No	
2b. Is the position of the Council for the Judiciary formally	⊠ Constitution or equivalent text	
guaranteed, and if so where?	⊠ In the Law	
	□No	
2c. Is the Council organized in accordance with ENCJ Guidelines concerning:		

⁶ The objective of a judicial reform process should be to improve the quality of justice and the efficacy of the Judiciary, while strengthening and protecting the independence of the Judiciary, accompanied by measures to make more effective its responsibility and accountability. See the ENCJ Report on Judicial Reform 2011-2012.

⁷ See article 6 ENCJ Statutes. National institute which is independent of the executive and legislature, or which is autonomous and which ensures the final responsibility for the support of the Judiciary in the independent delivery of justice.

At least 50% of the members of the Council are judges who are (with the exception of ex-officio members) chosen by their peers ⁸	⊠ Yes	□ No
The judicial members represent the whole judiciary (all tiers of the Judiciary are represented in the Council)	⊠ Yes	□ No
(Former) Members of government are not a member of the Council ⁹	⊠ Yes¹0	□ No
(Former) Members of parliament are not a member of the Council ¹¹	Yes	x□ No
The Council controls its own finances (including the administrative and human resources) independently of both the legislative and executive branches ¹²	⊠ Yes	□ No
The Council controls its own activities independently of both the legislative and executive branches	⊠ Yes	□ No
2d. Is the Council responsible ¹³ for the following:		
The appointment and promotion of magistrates	⊠ Yes	□ No
The training of magistrates	⊠ Yes	□ No
Judicial discipline	⊠ Yes	□ No
Judicial ethics	⊠ Yes	□ No
Complaints against the Judiciary	⊠ Yes	□ No
The performance management of the Judiciary	⊠ Yes	□ No
The administration of courts	⊠ Yes	□ No
The financing of the courts	☐ Yes	⊠ No ¹⁴

Article 142 of Law No 304/2022 states that: (1) The activity of the courts is financed entirely from the state budget.

(2) The budget of courts of appeal, tribunals, specialised tribunals and first instance courts approved for the

⁸ Only in case of a Council representing judges and prosecutors, please read magistrates.

⁹ ENCJ Standards report on non-judicial members in judicial self-governance 2016

 $^{^{10}}$ Except for the minister of justice who is a de jure /ex officio member, no other members of the government are members of the Council.

¹¹ Idem ref.9

¹² The finances of the Council for the Judiciary refer to the budget of the Council itself and not to the budget of the Judiciary as a whole.

¹³ Responsible implies that the Council executes these tasks. But it can also mean that the Council has delegated these tasks to a separate body.

¹⁴ The Council has its own budget, as well as (among courts) the High Court of Cassation and Justice . As regards the of the courts (trial/district courts, tribunals, courts of appeal), the new legal provisions state the following:

personnel expenditure of these courts, as well as that approved for other categories of expenditure intrinsically related to the personnel expenditure, it is included in the budget of the High Court of Cassation and Justice and it is managed by the president of the High Court of Cassation and Justice who has the status of principal authorising officer for the courts with regard to these categories of expenses.

- (3) The budget of courts of appeal, tribunals, specialised tribunals and first instance courts approved for other categories of expenditure than those referred to in paragraph (2) shall be managed by the Ministry of Justice, the minister of justice justice having the quality of principal authorising officer for these categories of expenditure.
- (4) The provisions of paragraph (2) are also applicable in respect of the activities financed entirely from own incomes, in accordance with Articles 67 and 68 of Law No 500/2002, as subsequently amended and supplemented.
- (5) The salary rights or other rights with salary nature of judges of the courts provided for in paragraph 2, including interests and other intrinsic rights related to wage rights, shall be ensured by the High Court of Justice, and the documents regarding the payroll and other rights with the nature of salary of judges from these courts are issued by the President of the High Court of Cassation and Justice.
- (6) The High Court of Cassation and Justice is subrogated by law to all the rights and obligations of the Ministry of Justice that arise from applying the provisions in para. 2, including those of procedural nature and those that are derived from court decisions and other enforceable titles.
- (7) In the application of this article, the Ministry of Justice and the Ministry of Finance shall be empowered to introduce the corresponding changes in the structure of posts and staff costs, as well as in the volume and the structure of the budgets of authorising officers.
- (8) The provisions of this article shall apply from the date of entry into force of the Law on State Budget for the year 2023. To this end, the draft budget of the High Court of Cassation and Justice and the Ministry of Justice for 2023, will include the amendments provided for in this law.

Article 144 of Law No 304/2022 on judicial organisation states the following: (1) The Courts of Appeal and the Prosecutor's Offices attached to the Courts of Appeal shall draw up the draft annual budgets for the courts or, as the case may be, the prosecutor's offices in their constituencies.

- (2) The draft budget drawn up in accordance with paragraph (1) shall be submitted to the Ministry of Justice, to the High Court of Cassation and Justice or, as the case may be, the Prosecutor's Office attached to the High Court of Cassation and Justice.
- (3) The Prosecutor's Office attached to the High Court of Cassation and Justice, the National Anticorruption Directorate and the Investigation of Organised Crime and Terrorism develops its own budget drafts every year. The budget of the Prosecutor's Office attached to the High Court of Cassation and Justice also comprises the budgets of the prosecutor's offices attached to the other courts.
- (4) The draft budget drawn up in accordance with paragraphs (1) and (3) shall be subject to the assent of the Superior Council of Magistracy.
- (5) The draft budget of the High Court of Cassation and Justice shall be approved by the general assembly of judges of this court, with the advisory opinion of the Ministry of Finance.
- (6) The draft annual budget of the military courts shall be drawn up by the Military Court of Appeal, and those of the military Prosecutor's Office by the section or service of the Prosecutor's Office attached to the High Court of Cassation and, after the consultation of military courts/ military prosecutor's offices, shall ne sent to the principal authorizing officer
- (7) The operating expenses of the military courts and prosecutor's offices shall be borne from the state budget, through the budget of the Ministry of National Defence.

Proposing legislation concerning the courts and the Judiciary ¹⁵	⊠ Yes	□ No	
2e. If the answer to question 2a. is no <u>or if the Council is not responsible</u> in the following areas do judges have decisive influence on decisions in the following areas?			
The appointment and promotion of magistrates	☐ Yes	□ No	
The training of magistrates	☐ Yes	□ No	
Judicial discipline	☐ Yes	□ No	
Judicial ethics	☐ Yes	□ No	
Complaints against the Judiciary	☐ Yes	□ No	
The performance management of the Judiciary	☐ Yes	□ No	
The administration of courts	☐ Yes	□ No	
The financing of the courts	☐ Yes	□ No	
Proposing legislation concerning the courts and the Judiciary ¹⁶	☐ Yes	□ No	

3. Funding of the Judiciary			
3a. Is the funding of the Judiciary sufficient as to allow the courts:	[several answers possible]		
(not part of the formal indicators)	□ To handle their caseload		
	⊠ To engage		
	experts/translators/etc. in cases		
	when necessary if fees paid by court		
	□ To keep the knowledge and skills		
	of judges up to date		
	☐ To keep the knowledge and skills		
	of court staff up to date		
	☑ To facilitate judges and other		
	personnel in matters of IT-systems,		
	buildings etc.		

 $^{^{\}rm 15}$ To the Parliament or the Ministry of Justice. $^{\rm 16}$ To the Parliament or the Ministry of Justice.

Please insert an "x" into the box that corresponds to the situation in your country.			
a) Involvement in the preparation of the "budget allocated to courts"	×	⊠	
b) Formal proposal on the budget allocated to courts	×	\boxtimes	
c) Adoption of the budget allocated to courts			\boxtimes
d) Control of the budget allocated to courts ¹⁸	\boxtimes	\boxtimes	
e) Evaluation/audit of the budget allocated to courts ¹⁹		х□	
3c. In case the government does not allocate sufficient funds, may	⊠ Yes		
the Judiciary address the parliament?	□ No		
3d. Is the funding of the Judiciary based upon transparent and	⊠ Yes		
objective criteria?	□ No		
3e. If the answer to 3d is yes, is the funding based on:	[several answers possible] ⊠ Actual costs ²⁰ (e.g. number of judges and court staff)		
	☐ Workload	d of courts	
	☐ Fixed percentage of government expenditure or GDP		
	☐ Other (specify):		
3f. Where have these criteria been defined	☐ In well-established practice		
	⊠ In law		
	☐ Other (specify)		
	•		
4. Court management ²¹			
Which authorities can take the following decisions?	Judiciary	Executive	Legislature
Please cross the box that corresponds to the situation in your			
country.			

Judiciary

Executive¹⁷ Legislature

General management of a court

3b. Who makes the decisions?

 \boxtimes

¹⁷ Such as the Minister of Justice

 $^{^{18}}$ See reference No 14 on the legal provisions regarding financial aspects, according to the new legal provisions

¹⁹ See the above reference

²⁰ Figure based upon historic or realized costs.

²¹ Court management also refers to non-budgetary decisions with impact on the functioning of the courts.

Appointment of court staff (other than judges)	⊠		
Redeployment of judges to address temporary workload issues			
Other human resource management decisions on court staff			
Decisions regarding the implementation and use of Information and Communication Technology in courts		x□	
Decisions regarding court buildings	⊠		
Decisions regarding court security			
Decisions regarding outreach activities ²²			

Formal independence of the judge

5. Human resource decisions about judges			
5a. Selection, appointment and dismissal of <u>judges</u> and <u>court</u> <u>presidents</u>	Judiciary	Executive	Legislature
Which authorities can take the following decisions?			
Please cross the box that corresponds to the situation in your			
country.			
Proposal of candidates ²³ for the appointment as judges	\boxtimes		
(not supreme court judges)			
Decision ²⁴ on the appointment of a judge	×		
Proposal for the dismissal of a judge	\boxtimes		
Decision on the dismissal of a judge	×		
Proposal of candidates for the appointment as court presidents	×		
Decision on the appointment of a court president	\boxtimes		
Proposal for the dismissal of a court president	×		
Decision on the dismissal of a court president	\boxtimes		

²² This includes all communication and promotional activities aimed to inform society about the Judiciary.

²³ The final proposal of candidate(s) which is transmitted to the body that appoints/elects them.

²⁴ In the context of this question a decision includes a binding proposal addressed to the body which formally makes the relevant decision.

5b. Selection, appointment and dismissal of Supreme Court judges	Judiciary	Executive	Legislature
and the President of the Supreme Court			
Which authorities can take the following decisions?			
Proposal of candidates for the appointment as Supreme Court	×		
judges			
Decision ²⁵ on the appointment of a Supreme Court judge	⊠		
Proposal for the dismissal of a Supreme Court judge	×		
Decision on the dismissal of a Supreme Court judge	×		
Proposal of the candidate(s) for the appointment of the President of	\boxtimes		
the Supreme Court			
Decision on the appointment of the President of the Supreme Court	×		
Proposal for the dismissal of the President of the Supreme Court	×		
Decision on the dismissal of the President of the Supreme Court	⊠		
5c. Is the appointment of judges in compliance with the ENCJ guideling	nes?		
Is the appointment process open to public scrutiny	⊠ Yes	□ No	
and fully and properly documented?			
Is the appointment process undertaken according to published	⊠ Yes	□ No	
criteria?			
Is the appointment of judges solely based on merit?	⊠ Yes	□ No	
Is there in place a written policy designed to encourage diversity in	☐ Yes	⊠ No	
the range of persons available for appointment?			
Does the appointment process provide for an independent	⊠ Yes	☐ No	
complaint procedure?			
5d. Evaluation, promotion ²⁶ and training of judges.	Judiciary	Executive	Legislature
Which authorities can take the following decisions?			
Decision ²⁷ on the evaluation of a judge	⊠		

 $^{^{25}}$ In the context of this question a decision includes a binding proposal addressed to the body which formally makes the relevant decision.

²⁶ Promotion of judges in the sense of this sub-question and sub-question 5e also covers applications by judges to a new judicial position within the judicial system.

²⁷ In the context of this question 5d) a decision includes a binding proposal addressed to the body which formally makes the relevant decision.

Evaluation of the performance management of courts			
Decision on the promotion of a judge			
Adoption of ethical standards			
Application of ethical standards			
Decision on the program/content of training for judges	×		
5e. Probationary periods after first appointment ²⁸			
Before permanent appointment do judges serve a probationary period?	⊠ Yes	□ No	
If yes, is the refusal to confirm the judge in office made according to objective criteria and with the same procedural safeguards as apply when a judge is to be removed from office?	⊠ Yes	□ No	
Does the body that decides include a majority of Judges?	⊠ Yes	□ No	
Is this body independent from the executive and legislature?	⊠ Yes	□ No	
5f. Is the promotion ²⁹ of judges in compliance with the ENCJ standard	ds?		
Is the promotion process open to public scrutiny and fully and properly documented?	⊠ Yes	□ No	
Is the promotion process undertaken according to published criteria?	⊠ Yes	□ No	
Is the promotion of judges solely based on merit?	⊠ Yes	□ No	
Is there in place a written policy designed to encourage diversity in the range of persons available for promotion?	□Yes	x□ No	
Does the promotion process provide for an independent complaint procedure?	⊠ Yes	□ No	
6. Disciplinary measures			
6a. Are disciplinary measures against judges in accordance with ENCJ standards, namely			
Is there a list of types of judicial conducts/ethics the breach of which would be unacceptable?	⊠ Yes	□ No	
Is there a time limit for the conducting of the investigation,	⊠ Yes	□ No	

²⁸ Venice Commission 2010 report on the Independence of Judges

²⁹ Promotion of judges in the sense of this sub-question and sub-question 5d also covers applications by judges to new judicial position within the judicial system.

the making of a decision and the imposition of any sanction?			
Is the name of the judge withheld prior to any sanction being imposed?	x□ Yes	□No	
Does a judge have the right to be legally represented or assisted by a person of her/his choosing?	⊠ Yes	□ No	
Is there is a right of appeal by way of judicial review or cassation appeal? ³⁰	⊠ Yes	□ No	
6b. Which is the competent body to make the following decisions	Judiciary	Executive	Legislature
in the context of disciplinary procedures against judges:			
Proposal for the appointment of a member of the disciplinary body for judges	⊠		
Decision on the appointment of a member of the disciplinary body for judges	×		
Investigation of a complaint against a judge	\boxtimes		
Proposal for a disciplinary decision regarding a judge	×		
Disciplinary decision regarding a judge	×		
Decision on the follow-up to a complaint against the Judiciary/a judge	×		
6c. Can disciplinary measures be initiated against a judge (except in gross negligence) for the following reasons:	cases wher	e there has	been malice or
His/her interpretation of the law	☐ Yes	⊠ No	
His/her assessment of facts	☐ Yes	⊠ No	
His/her weighing of evidence in determining a case	☐ Yes	⊠ No	
For exercising his/her freedom of expression in order to address threats to the independence of the judiciary, threats to judicial integrity, fundamental aspects of the administration of justice ³¹ and when fundamental rights and the Rule of Law are in peril ³²	☐ Yes	⊠ No	
7. Non-transferability of judges			
7a. Choose one of the following three options:	another o		ransferred to tion without

³⁰ CSM section rulings in disciplinary matters may be challenged by appeal to the High Court of Cassation and Justice, Administrative and Fiscal Chamber.

³¹ <mark>ICJ</mark> - <u>https://www.icj.org/judgesexpression2019/</u>
³² ENCJ report on Judicial Ethics 2010

	✓ Judges cannot be transferred to another court or location without their consent except for: - a disciplinary sanction, - the lawful alteration of the court system and - a temporary assignment to reinforce a neighbouring court, the maximum duration of such assignment being strictly limited by the statute ³³ [go to Q7c] ☐ Judges can be transferred to another court or location without their consent also for other reasons [go to Q7c]	
	_	
7b. If transfer without consent is prohibited, is the prohibition	x□ Constitution or equivalent text	
guaranteed in:	x□ Law	
[go to Q7g]	☐ Jurisprudence	
7c. Which authority or body decides on a (temporary or	x□ The Judiciary	
permanent) transfer of a judge without his/her consent?34		
,	☐ The legislature	
7d. In case a judge is transferred (temporarily or permanently)	□ Yes	
without his/her consent is he/she guaranteed an equivalent post	x□ No ³⁵	
(in terms of a position, salary)?		
7e. Can a judge appeal if he/she is transferred (temporarily or	x□ Yes	
permanently) without his/her consent?	□ No	
7f. If yes, which authority or body decides on such an appeal?	x□ The Judiciary	
	☐ The executive	
	☐ The legislature	

Only the first thesis of this option is applicable in the Romanian judicial system; the other 2 situations, namely the lawful alteration of the court system and a temporary assignment to reinforce a neighbouring court, the maximum duration of such assignment being strictly limited by the statute are not provided for in the law as a reason for the transfer of a judge without his/her consent

³⁴ This relates to the allowed exceptions under 7a and to any other reasons.

³⁵ The only situation in which a judge can be transfered without his/her consent relates to one of the disciplinary sanctions. In this case, it is possible for him/her to be transfered to an inferior level court (for eg, from to tribunal to first instance court)

7g. Can a judge be taken off a case without his/her consent? ³⁶	x□ Yes	
	□ No	
7h. If no, is the prohibition guaranteed in:	☐ The Constitution or equivalent	
	text	
	☐ Law	
	☐ Custom	
8. Allocation of cases		
8a. Is there a well-defined mechanism for the allocation of cases?	x□ Yes	
	□ No	
8b. If yes, where have these criteria been defined?	☐ In well-established practice of the	
	court	
	x□ In an act adopted by the court	
	x□ In implementing regulations	
	x□ In law	
	☐ Other (specify): Click or tap here	
	to enter text.	
8c. What are the criteria for the allocation of cases?	x□ Random-based ³⁷	
	☐ Specialization	
	☐ Experience	
	☐ Workload	
	☐ Other (specify): Click or tap here	
	to enter text.	
8d. Who assigns the cases to judges at the courts?	☐ President of the court assigns	
	cases	
	\square A member of the court staff	
	assigns cases (e.g. listing officer)	
	☐ A special chamber of the court	
	assigns cases	
	43518113 64363	

³⁶ A judge can be taken off a case only in the following cases: recusal, joint cases, when measures regarding the proper functioning of the courts are needed to be taken (for eg, when a judge is transfered to another section within the same court)

³⁷ Specialization and workload can be considered sub-criteria for the random-based allocation of cases

	x□ The cases are assigned randomly
	(e.g. through a computerized
	system)
	☐ Other (specifyClick or tap here to
	enter text.
8e. Is the allocation of cases subject to supervision within the	x□ Yes
Judiciary?	□ No
8f. Is the method of allocation of cases publicly accessible?	□ Vac
of the method of anocation of cases publicly accessible:	☐ Yes
	x□ No
8g. Are the parties entitled to be informed about the allocation of	x□ Yes
the case prior to the start of the hearing of the case?	□ No
8h. Is the mechanism of allocation being applied uniformly within	x□ Yes
the country?	□ No
8i. Is the motivation for any derogation recorded?	x□ Yes
oi. is the motivation for any derogation recorded:	
	□ No
Q Internal independence	
9. Internal independence	
·	□ Yes
9. Internal independence 9a. In your system, can higher ranked judges change a verdict of a lower ranked judge (outside of an appeal system, the	
9a. In your system, can higher ranked judges change a verdict of	☐ Yes x☐ No
9a. In your system, can higher ranked judges change a verdict of a lower ranked judge (outside of an appeal system, the	
9a. In your system, can higher ranked judges change a verdict of a lower ranked judge (outside of an appeal system, the precedent doctrine or a preliminary ruling system)?	x□ No □ None
9a. In your system, can higher ranked judges change a verdict of a lower ranked judge (outside of an appeal system, the precedent doctrine or a preliminary ruling system)? 9b. What kind of decisions can higher ranked judges deliver on	x□ No □ None x□ Non-binding guidelines
9a. In your system, can higher ranked judges change a verdict of a lower ranked judge (outside of an appeal system, the precedent doctrine or a preliminary ruling system)? 9b. What kind of decisions can higher ranked judges deliver on their own initiative to ensure the uniformity or consistency of	x□ No □ None
9a. In your system, can higher ranked judges change a verdict of a lower ranked judge (outside of an appeal system, the precedent doctrine or a preliminary ruling system)? 9b. What kind of decisions can higher ranked judges deliver on their own initiative to ensure the uniformity or consistency of judicial decisions (outside of an appeal system or the precedent	x□ No □ None x□ Non-binding guidelines
9a. In your system, can higher ranked judges change a verdict of a lower ranked judge (outside of an appeal system, the precedent doctrine or a preliminary ruling system)? 9b. What kind of decisions can higher ranked judges deliver on their own initiative to ensure the uniformity or consistency of judicial decisions (outside of an appeal system or the precedent doctrine)?	x□ No □ None x□ Non-binding guidelines x□ Binding guidelines □ None
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9a. In your system, can higher ranked judges change a verdict of a lower ranked judge (outside of an appeal system, the precedent doctrine or a preliminary ruling system)? 9b. What kind of decisions can higher ranked judges deliver on their own initiative to ensure the uniformity or consistency of judicial decisions (outside of an appeal system or the precedent doctrine)? 9c. Can judges at the same level develop guidelines to ensure	x□ No □ None x□ Non-binding guidelines x□ Binding guidelines □ None
9a. In your system, can higher ranked judges change a verdict of a lower ranked judge (outside of an appeal system, the precedent doctrine or a preliminary ruling system)? 9b. What kind of decisions can higher ranked judges deliver on their own initiative to ensure the uniformity or consistency of judicial decisions (outside of an appeal system or the precedent doctrine)? 9c. Can judges at the same level develop guidelines to ensure	x□ No □ None x□ Non-binding guidelines x□ Binding guidelines □ None x□ Non-binding guidelines
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9a. In your system, can higher ranked judges change a verdict of a lower ranked judge (outside of an appeal system, the precedent doctrine or a preliminary ruling system)? 9b. What kind of decisions can higher ranked judges deliver on their own initiative to ensure the uniformity or consistency of judicial decisions (outside of an appeal system or the precedent doctrine)? 9c. Can judges at the same level develop guidelines to ensure uniformity or consistency of judicial decisions? 9d. Can the management of the court exert pressure in individual cases on the way judges handle their cases with respect to the	x□ No □ None x□ Non-binding guidelines x□ Binding guidelines □ None x□ Non-binding guidelines □ Binding guidelines □ Yes
9a. In your system, can higher ranked judges change a verdict of a lower ranked judge (outside of an appeal system, the precedent doctrine or a preliminary ruling system)? 9b. What kind of decisions can higher ranked judges deliver on their own initiative to ensure the uniformity or consistency of judicial decisions (outside of an appeal system or the precedent doctrine)? 9c. Can judges at the same level develop guidelines to ensure uniformity or consistency of judicial decisions? 9d. Can the management of the court exert pressure in individual cases on the way judges handle their cases with respect to the uniformity/consistency?	x□ No □ None x□ Non-binding guidelines x□ Binding guidelines □ None x□ Non-binding guidelines □ Binding guidelines □ Yes x□ No
9a. In your system, can higher ranked judges change a verdict of a lower ranked judge (outside of an appeal system, the precedent doctrine or a preliminary ruling system)? 9b. What kind of decisions can higher ranked judges deliver on their own initiative to ensure the uniformity or consistency of judicial decisions (outside of an appeal system or the precedent doctrine)? 9c. Can judges at the same level develop guidelines to ensure uniformity or consistency of judicial decisions? 9d. Can the management of the court exert pressure in individual cases on the way judges handle their cases with respect to the uniformity/consistency? 9e. Can the management of the court exert pressure in individual	x□ No □ None x□ Non-binding guidelines x□ Binding guidelines □ None x□ Non-binding guidelines □ Binding guidelines □ Yes x□ No

Perceived independence

10. Independence as perceived by society

Please don't answer these questions. The data will be filled in by the secretary of the project group for each member and observer.

10a. Perceived independence according to <u>Flash Eurobarometer 461</u> (2018) 'Perceived independence of the national justice systems in the EU among the general public' and

Score 461:: Click or tap here to enter text.

<u>Flash Eurobarometer 462 (2018)</u> 'Perceived independence of the national justice systems in the EU among companies'.

Score 462: Click or tap here to enter text.

Percentage of respondents that rate very good or fairly good.

Total Score: Click or tap here to enter text.

10b. Perceived independence according to the <u>World Economic</u>
<u>Forum Competitiveness Report 2018,</u> item 1.07. Score on 7-point scale.

Score1.07: Click or tap here to enter text.

10c. Perceived independence according to the World Justice Rule of Law Index 2017/2018, average of Q1.2, Q7.4 and Q8.6.

Q1.2 Score: Click or tap here to enter text.

Q7.4 Score: Click or tap here to enter text.

Q8.6 Score: Click or tap here to enter text.

Total: Click or tap here to enter text.

text.

11. Independence as perceived by the clients of the courts

11a. Are national client satisfaction surveys available of the past	□ Yes
three years which contain a question with respect to the perceived	□ No
independence (impartiality) of the Judiciary?	
11b. If yes, please state the percentage of respondents that rate the	Percentage: Click or tap here to
perceived independence (impartiality) very good or fairly good.	enter text.

12. Independence as perceived by lawyers Please don't answer these questions. The data will be filled in by the secretary of the project group for each member and observer. Perceived independence according to the CCBE survey, question 10 (figure 48 I,A&Q report 2019-2020) Score: Click or tap here to enter text.

13. Independence as perceived by judges

Please don't answer these questions. The data will be filled in by the secretary of the project group for each member and observer.

Perceived independence according to the ENCJ survey, question 16

Score: Click or tap here to enter text.

14. Perceived Judicial corruption Please don't answer this question. The data will be filled in by the secretary of the project group for each member and observer. Perceived Judicial corruption according to Special Eurobarometer 470 (2017) 'Corruption', QB7. Percentage of respondents that believe corruption is widespread. Perceived Judicial corruption according to WJP, Q2.2. Score: Click or tap here to enter text.

15. Trust in Judiciary Please don't answer these questions. The data will be filled in by the secretary of the project group for each member and observer. Trust in judiciary, relative to trust in other state powers by citizens, according to EC Public Opinion, eu.europa.eu Percentage that trusts the justice system vs percentages that trust national parliament and national government.

ACCOUNTABILITY INDICATORS

Formal accountability of the Judiciary as a whole Transparency about the functioning of the Judiciary

1. Periodic reporting on the Judiciary	
1a. Is an annual report published on how the Judiciary has	x□ Yes
discharged its functions?	□ No
1b. If the answer to 1a is yes, who publishes the report?	x□ Judiciary
	☐ Executive
1c. If the answer on 1a is yes, does this report include data on:	[several answers possible]
	x□ The number of completed
	cases?
	x□ Duration of cases?
	x□ Disciplinary measures
	x□ (Successful) complaints
	\square (Successful) requests for recusal
1d. Are the courts periodically and publicly benchmarked with	x□ Yes
respect to their performance, e.g. timeliness?	□ No
respect to their performance, e.g. timeiness.	
2. Relations with the press	
2a. Do officials (communication officers or press judges) of the	☐ Yes
courts explain judicial decisions to the media?	x□ No
2b. Has the Judiciary established press guidelines?	x□ Yes
	□ No
2. Donatha ladisiana siara sakhasisakisa ka kasadasak sasak sasak	
2c. Does the Judiciary give authorization to broadcast court cases	☐ Yes
that draw particular public interest on television?	x□ No
	<u> </u>
3. Outreach activities aimed at civil society	
,	
3a. Do Open Door days take place in the Courts	x□ Yes
	□ No
3b. Are educational programmes conducted at schools	x□ Yes
	□ No
3c. Have television/radio/social media programme formats been	x□Yes
developed with the relevant broadcast companies to provide insight	□ No
in the work of the judge?	

4. External review				
4a. Is the performance of the courts i	regularly reviewed o	r evaluated	□ Yes	
by external bodies?			x□ No	
4b. Who can commission an external review of the Judiciary?		[several answers possible]		
			x□ The Jud	•
			☐ The exe	
			☐ The legi	slature
5				
	ccountability of the	_		
Involveme	ent of civil society	n judicial go	vernance	
5. Participation of civil society in gove	ernance bodies of th	e iudiciary		
Please fill in the table		e jaanenan y		
Governing body which is	Are persons with	How many	non-	Are the non-judicial
responsible for:	a non-judicial			
	background	member of		through a transparen
	members? ³⁸	governing l	oody?	procedure, based on
				merit?
Selection & Appointment of judges	□ Yes	☐ less than	half	□ Yes
	x□ No ³⁹	□ half		□ No
		☐ more tha	n half	
Disciplinary measures against	□ Yes	☐ less than	half	□ Yes
judges	x□ No	☐ half		□ No
		☐ more tha	n half	
Complaints about judges and the	□ Yes	☐ less than	half	□ Yes
court(s) in general	x□ No	☐ half		□No
		☐ more tha	n half	
	Formal accountability of the judge and staff			
Forma	accountability of	the judge an	u stujj	
Formal Mechanisms to prom	• •			e judiciary
	• •			e judiciary

6. Complaints procedure 6a. Does the Judiciary or do the individual courts have a complaint procedure? □ No | Several answers possible | x | Behaviour of judges | x | Behaviour of judges | Reverse | Rev

³⁸. Two lay members ("representatives of the civil society") appointed by the Senate sit with voting rights only in the Plenum of the Council. The Minister of Justice is an ex officio member. 14 members are magistrates **elected** by their peers (9 judges, 5 prosecutors). (The General Prosecutor of the PO attached to the High Court and the President of the High Court sit in the Council ex officio, by right.)

³⁹ In the phase of the interview, there is also a psychologist in the evaluation committee and university teachers

	x□ Timeliness
	x ☐ Administrative mistakes
	x□Other
6c. Is an appeal against a decision on a complaint possible?	x□ Yes
	□ No
7. Withdrawal and recusal	
7a. Is a judge obliged to withdraw from adjudicating a case if the	x□ Yes
judge believes that impartiality is in question or compromised or	□ No
that there is a reasonable perception of bias?	
7b. If yes, what is the source of the obligation to withdraw from	[one answer only]
adjudicating a case?	☐ Well-established practice of
adjudicating a case:	judges
	☐ Set in an act adopted by a court
	, ,
	☐ Set in an act adopted by the
	Council for the Judiciary
	☐ Set in an act adopted by the
	Minister of justice
	x□ Set in law
	☐ Other (specify):
7c. If a judge disrespects the obligation to withdraw from	[several answers possible]
adjudicating a case, which sanctions could the judge be subjected	☐ Oral warning
to?	x□ Written warning
	x□ Suspension
	x□ Disciplinary dismissal
	None ,
7d. Which authority or body takes the first decision on a request for	x□ The Judiciary
recusal by a party who considers that a judge is partial / biased?	☐ The executive
	☐ Other (specify): Click or tap here
	to enter text.
7e. Is an appeal against a decision on a request for recusal possible?	x□Yes
	□ No
7f. If yes, which authority or body decides on such an appeal?	x□ The Judiciary
	☐ The executive
	Other (specify): Click or tan here

to enter text.

8. Admissibility of accessory functions and disclosure of interests	
8a. Are judges allowed to have other functions?	x□ Yes ⁴⁰
	☐ No [if no go directly to Q. 8f]
8b. Is an authorisation for the exercise of accessory functions by	x□ Yes
judges necessary?	□ No
8c. If the answer to 8b. is yes, who gives authorisation?	x□ The Judiciary
	☐ The Executive
	☐ The Legislature
8d. If 8a is yes, is there a register of the other jobs and/or functions	x□ Yes
judges have?	□No
8e. If the answer to 8d is yes is this register public?	□ Yes
	x□ No
8f. Is there a register which discloses financial interests judges may	x□ Yes, please specify the
have?	minimum amount which needs to
	be disclosed:5000 EUR
	□ No
8g. If the answer to 8f is yes, is this register public?	
og. If the answer to or is yes, is this register public:	x□ Yes
	□ No
9. Code or guidelines of judicial ethics	
9a. Does the Judiciary have a code or guidelines of judicial ethics?	x□ Yes
	□ No
9b. If the answer to 9a. is yes, is it available to the public?	x□ Yes
	□ No
9c. Is judicial training on judicial ethics available?	x□ Yes
	1

⁴⁰ They can be university teachers(they don't need an authorisation)or trainers within the National Institute of Magistracy or National School of Clerks (they need the approval of the Superior Council of Magistracy)

	□ No
9d. Is there a body with responsibility to provide judges with	x□ Yes
guidance or advice on ethical issues?	□ No

Formal accountability of the judge and staff

Mechanisms to evaluate performance and promote and maintain ethical standards of the judiciary

10. Evaluation of judges	
10a. Existence of evaluation and its purpose	
Is the performance of judges evaluated on a systematic basis?	x□ Yes
	☐ No - questions ends
Has the purpose and consequences of evaluation been made explicit	x□ Yes
in a binding document (primary legislation or court regulation)?	
	□ No
10b. Purposes of evaluation	
A. Personal learning and professional development ⁴¹	

Article 88 of Law No 303/2022 - (1) Considering the seniority in the position of judge or prosecutor, the assessment shall be carried out as follows:

According to Article 89 of Law No 303/2022, (1) The evaluation provided for in Article 87 shall be made by evaluation commissions set up separately for judges and prosecutors; a) for the evaluation of the president, the vice-president and the president of the section of the first instance courts, tribunals, Specialized tribunals, military tribunals, courts of appeal and the Military Court of Appeal, the commission consists of the chairman of the higher court, the chairman of the section of the corresponding higher court specialization of the judge evaluated, as well as a judge of the superior court, appointed by the college of management of that court;

⁴¹ According to Article 87 of Law No 303/2022 -The individual professional evaluation of judges and prosecutors involves analysing and snoting of the criteria and indicators for assessing the professional performance of judges and prosecutors, indicators which concern, in particular, the quality of the activity, the efficiency, the integrity and the obligation to continue vocational training, and in the case of judges and prosecutors appointed to senior positions, the manner of carrying out the managerial duties. (2) Professional evaluation of judges and prosecutors aims to establish the level of their professional competence and also to improve professional performance, increase the efficiency of the activity of courts and prosecutor's offices and public trust in judicial authority, maintain and consolidate the of the quality of the judicial system.

a) every 2 years, for judges and prosecutors with a seniority of between one and five years;

b) every 3 years, for judges and prosecutors with a seniority of between 5 and 10 years;

c) every 4 years, for judges and prosecutors with a seniority of between 10 and 15 years;

d) every 5 years, for judges and prosecutors with a seniority of more than 15 years.

⁽²⁾ Judges of the High Court of Cassation and Justice shall not be subject to evaluation.

⁽³⁾ Professional evaluation may also be carried out whenever requested by the judge or prosecutor.

Is the purpose of evaluation personal learning and professional	V Vac present to post supetion
	x□ Yes: proceed to next question
development of a judge? Decisions taken on the basis of the	□ No. Co to D
outcome of this type of evaluation are, in principle, only by the	☐ No: Go to B
judge. Example: personal resolve to improve communication with	
parties or a request for specific training.	
Who evaluates?	x□ Peer(s)
	☐ Other
Is the Report of the evaluation available to only the judge or also	Only evaluated index
management?	☐ Only evaluated judge
managements	x□ Also management
What is the frequency of the evaluation? 42	☐ More frequent
Triacis the frequency of the evaluation.	•
	x□ Every 2-4 years
	x□ Less frequent
	ALL LESS HEQUEIT
B. Performance evaluation by management, not aimed at	
individual human resource/career decisions.	
Is the purpose of performance evaluation by management, not	☐ Yes: proceed to next question
aimed at individual human resource/career decisions? Examples: (1)	□ No. oo to C
Development of the competences and skills of the judges of a court	☐ No: go to C
or a department of a court, in connection with the distribution of	
judges across areas of law, including their specialization and training	
needs. Example of a decision by (knowledge) management:	
allocation of specialisations. (2) Promoting the quantitative and	
qualitative performance of the judges of a court in connection with	
the efficiency and effectiveness of the court. Example of decision by	
management: determination of individual case load and timeliness.	
•	
	_
Is all information on which the evaluation is based documented?	□ Yes
	□ No
	LI NO

b) for the evaluation of the other judges of the courts referred to in letter a), the evaluation commission consists of the president of the court where the person evaluated operates, as well as 2 judges from the court higher hierarchical, appointed by the governing college of that court, with the same specialization as the judge evaluated;

⁴² See the explanation above on the professional evaluation

Are all documents available to the judge?	□ Yes
	□ No
Has the judge the right to respond to any findings on him/her?	□ Yes
	□ No
What is the frequency of the evaluation?	☐ More frequent
	☐ Every 1-2 years
	☐ Less Frequent
C. Performance evaluation by management or other responsible	
authority, aimed at individual human resource/career	
decisions. ⁴³	

- 1) The professional activity evaluation report is confidential, it is prepared separately for each judge and prosecutor, based on the documents of the evaluation file, and it is then communicated to the one under evaluation.
- (2) The evaluation report includes the description of the activities carried out by the evaluation committee, the evaluation chart, the recommendations made to tge judge or prosecutor under evaluation and it is drawn up in 3 copies, one is communicated to the judge or prosecutor under evaluation, one is kept at the evaluation file and one is attached to the professional map.
- (3) Through the evaluation report of the professional activity of the judge or prosecutor, one of the following grades may be awarded: "very good", "good", "satisfactory" or "unsatisfactory", according to Art. 100 para. (4).
- If the judge or prosecutor is assessed for both the execution and the management position, a single grade is given through the assessment report.
- (4) Before drawing up the evaluation report, the evaluation committee shall draw up a draft report which shall be communicated to the judge or, as the case may be, the prosecutor under assessment, who shall be entitled to make observations and objections not later than 15 days after communication.
- (5) Observations and objections shall be submitted, in writing, to the evaluation committee, which shall rule on them in no more than 15 days. If the comments and objections are accepted, the appropriate changes will be made in the evaluation report. The report shall record the objections and observations of the one under assessement and the Committee's reasoned solution on them.
- According to Article 102 para 1 of Law No 303/2022, Judges or prosecutors dissatisfied with the qualification awarded in the final evaluation report may appeal to the corresponding Section of the Superior Council of Magistracy in maximum 30 days from the communication of the final report
- Art. 103 (1) If the judge or prosecutor receives the grade "Satisfactory" or "Unsatisfactory", after becoming final, the evaluation committee and the judge or prosecutor evaluated shall establish, by mutual agreement, an individual professional development plan.
- (2) If the evaluation committee and the evaluated judge or prosecutor fail to reach an agreement, the individual professional development plan shall be established by the evaluation committee.
- Art. 104 (1) Judges and prosecutors who receive the grade "Unsatisfactory" are obliged to follow, for a period of between 3 and 6 months, courses organised by the National Institute of Magistracy.
- (2) Judges and prosecutors who receive the grade "Satisfactory" following two consecutive evaluations are required to attend, for a period of between 3 and 6 months, courses organised by the National Institute of Magistracy.
- (3) For judges or prosecutors who receive after two consecutive evaluations the grade "Unsatisfactory" or who have not passed the examination provided for in Article 105, the corresponding section of the Council

⁴³Article 101 of Law No 303/2022- the evaluation report.

Is the purpose of evaluation performance evaluation aimed at taking	x□ Yes : proceed to next question
human resource/career decisions about judges such as promotion	
and career steps (i.e. switch from a first instance court to an appeal	☐ No : questions ends
court and vice versa)?	
Can evaluation in itself lead to the dismissal (demotion/transfer) of	□ Yes
a judge?	No.
	x□ No
Does the body that conducts the evaluation consist of a majority of	x□ Yes
judges?	
	□ No
Does the executive or legislative powers take part in the evaluation?	□ Yes
	□ N - (0)
	x□ No (0)
What is the frequency of the evaluation, if it is conducted on a	☐ More frequent
regular basis? ⁴⁴	x□ Every 2-4 years
	x□ Less frequent
	Less frequent
Is all information on which the evaluation is based documented?	x□ Yes
	□ No
	LI NO
Are all documents available to the judge?	x□ Yes
	□ No
	LI NO
Does the judge have the right to respond to any findings on	x□ Yes
him/her?	□ No
	<u> </u>
Is a procedure of appeal in place which allows for an independent	x□ Yes
review of all materials?	□ No

Superior of the Magistracy proposes to the President of Romania his/her dismissal from office for professional incapacity.

Art. 107- (1) The evolution of the career of a judge or prosecutor is recorded in the professional file, which is drawn up and kept by the Superior Council of Magistracy.

⁽²⁾ The data contained in the professional file are confidential, under the conditions provided by law.

⁽³⁾ Judges and prosecutors have access to their own professional file and can obtain copies of the documents existing in the file.

⁴⁴ See explanations above

Perceived accountability of the Judiciary and individual judge

11. Adherence of judges to ethical standards, as perceived by judges		
* Please don't answer this question. The data will be filled in by the secretary of the project group for each member and		
observer.		
ENCJ survey, Q19	Score: Click or tap here to enter	
	text.	
12. Adequacy of actions by judicial authorities to address judicial misconduct and corruption, as perceived		
by judges		
* Please don't answer these questions. The data will be filled in by the secretary	y of the project group for each member	
and observer.		
ENCJ survey, average of Q20 and Q21.	Score: Click or tap here to enter	
7,7	text.	
	text.	
13 Adequacy of actions by judicial authorities to address judicial misconduct and corruption, as perceived		
by lawyers		
* Please don't answer these questions. The data will be filled in by the secretary of the project group for each member		
and observer.		
CCBE survey, average of Q11 and Q12.	Score: Click or tap here to enter	
	text.	