

Factual Findings Report

External Audit of the Management of
National Integrity Agency for 2022

May 2023



Table of contents

Table of contents	2
Executive summary.....	3
<i>Introduction.....</i>	<i>3</i>
<i>Objectives and scope of the audit engagement</i>	<i>3</i>
<i>Procedures performed and factual findings</i>	<i>3</i>
<i>Findings</i>	<i>4</i>
1 Objectives and Scope of the project	8
2 Engagement approach, work plan and project phases.....	8
2.1 General project planning	8
2.2 Developing the engagement plan	9
2.3 Execution of the engagement plan and performance of verification procedures	9
2.4 Reporting phase	12
3 The Stage of Implementation of the objectives assumed by the Strategy of the National Integrity Agency 2022-2025	13
4 Remediation status for deficiencies identified during the verifications performed prior to year 2022	14
5 Working methodologies specific to each area verified in 2022	15
5.1 President, Vice President and General Secretary	15
5.2 Integrity Inspection	15
5.2.1 Integrity Inspection Services (4 services)	15
5.2.2 Analysis and Prevention Department	22
5.3 Legal, Public Relations and Communication General Directorate	23
5.3.1 Contentious Department	23
5.3.2 Advisory Services and Legislation Department	24
5.3.3 Communication, Public Relations and Strategy Directorate.....	26
5.4 Information Technology, Procurement, Investment and Logistics General Directorate (ITPILGD).....	30
5.4.1 Information Technology Department (ITD)	30
5.4.2 Procurement, Investments and Administrative Department (PIAD)	35
5.5 Public Internal Audit Department	38
5.6 Economic Department	40
5.6.1 Financial Office	41
5.6.2 Accounting Compartment	42
5.7 Human Ressources Department	43
5.7.1 Human Ressources Office.....	43
5.7.2 Labour Protection Department	45
5.8 The Activity of the Monitoring Commission for the Internal Management Control System.....	46
5.9 The assessment of the personal data processing activity.....	50
6 Use of this report	53
7 ANNEX 1 Status of implementation of the objectives of the ANI Strategy 2022 - 2025	54

Executive summary

Introduction

In accordance with the provisions of the service contract (hereinafter „the Contract”) registered with the National Integrity Agency (hereinafter “ANI” or “Agency”) under no. 4677/17.02.2023 and registered at TGS România Assurance & Advisory Business Services SRL (hereinafter „TGS”) under no. 22/20.03.2023, concluded between ANI and TGS, we submit to you the Factual Findings Report (“Report”), regarding the performance of external audit services of ANI’s management for 2022, in accordance with the provisions of art. 32 para. (1) of Law no. 144/2007 on the establishment, organization and functioning of the National Integrity Agency, republished, with subsequent amendments and additions.

The agreed work phases in the Initial Report for performing the engagement were:

- General planning – understanding ANI’s core activities and defining the audit engagement objectives, as well as understanding the risks that may be associated with the audit engagement;
- Developing the work program;
- Performing the work program and verification procedures (examination of documentation, interviews with key staff, conducting specific detailed tests);
- Drawing up the conclusions and drafting the factual findings report.

Objectives and scope of the audit engagement

The evaluation of the quality of ANI’s management for 2022 was assessed during the period between February 27th and April 24th, 2023. The entire process was carried out by the team of TGS specialists, by implementing procedures specific to this engagement, respectively examination of documentation, interviews of key staff and specific detail tests. Throughout the engagement, we collaborated with ANI’s representatives in order to achieve the objectives set as part of our technical offer.

The project was performed in accordance with:

- ✓ The tender documentation which led to the conclusion of the contract;
- ✓ International Standards on Related Services (ISRS 4400)¹;
- ✓ Legal framework applicable to the National Integrity Agency.

Procedures performed and factual findings

We have planned and performed the verifications in accordance with the objective and scope of this engagement, and with the agreed-upon procedures, as they are detailed in *Chapter 2 Approach, work program and project phases* of this report. All the procedures detailed in Chapter 2 have been performed in accordance with the terms agreed by the Contract.

¹ International Standards on related Services - 4400 Engagements to perform agreed upon procedures – agreed upon procedures

By following and performing the agreed upon procedures, we obtained sufficient and appropriate evidence to issue this factual finding report in accordance with the International Standards on Related Services (ISRS 4400). The procedures performed during this engagement are neither a financial audit, nor a review and thus we do not express any assurance regarding the quality of ANI's management and financial statements for the year that ended on December 31, 2022.

Regarding the findings identified in 2022, their classification was based on the impact they have on the objectives of the National Integrity Agency, and the centralized summary of the findings identified in 2022 is as follows:

Impact	Findings identified in 2022
Major	1
Medium	-
Minimum	4
Total findings identified in 2022	5

As part of this engagement, we have also assessed the remediation status of the deficiencies identified in previous years, included in the previous factual findings reports regarding ANI's management evaluation. Thus, the status of the deficiencies formulated in the factual findings reports for the previous years is presented in the table below:

Status of implementation of recommendation for deficiencies formulated in previous years	Impact			Total
	Major	Medium	Minimum	
Implemented recommendations	2	5	1	8
Partially implemented recommendations	7	3	7	17
Recommendations not implemented	3	2	4	9
Recommendations eliminated as no longer applicable	-	-	1	1

The external audit of the Agency's management carried out over the years has contributed to the quality of the processes/activities carried out within the Agency and is an important tool to ensure an independent evaluation of the level of compliance with operational procedures and undertaking responsibilities by all ANI staff, as indicated by the improvements observed during the prior audited periods.

Findings

The results of the application of the agreed-upon procedures performed according with the International Standards on Related Services (ISRS 4400) are presented within this report.

Through its attributions and clearly defined status, the National Integrity Agency is an autonomous administrative authority holding exclusive competence to ensure integrity in the exercise of public officials and dignities and to prevent institutional corruption. The National Integrity Agency holds responsibilities in managing the system of assets and interests' declarations and operates as a single structure, at national level.

Following the assessment of ANI's activity performed during the year 2022, we observed that ANI continued to implement specific measures in order to ensure efficient and effective management of the institution's activity. Such measures were aimed at consolidating and further developing the Agency's organizational. ANI managed to fulfill its objectives as well as its role, established by the law on organization and functioning, respecting independence, transparency, and professionalism principles. Among the achievements of 2022, we note the following:

- Designation of the Agency as the competent authority to receive reports on violations of the law (external reporting channel), in its area of competence, following the enactment of Law no. 361/16.12.2022 on the protection of whistleblowers of public interest, pursuing two lines of action:
 - ✓ The resolution of warnings in the public interest, within the specific competence of the Agency (through the specialised structure set up at ANI's level).
 - ✓ The follow-up of the whole mechanism applicable at national level, such as: informing, guiding the whistleblower, formulating recommendations, summarizing statistics and applying financial sanctions.
- Fulfilling the recommendations addressed to the National Integrity Agency under the Cooperation and Verification Mechanism (CVM), according to the CVM's report *"there have been a number of positive developments in ANI's work"* and *"The fact that from 2022 onwards declarations of assets and interest must be completed electronically and are available online to the public has increased transparency and facilitated ANI's work"*. *Considerable progress has also been made in carrying out an analysis of the integrity framework in Romania. This analysis is intended to inform the forthcoming legislative intervention on the consolidated integrity law, to be adopted by the end of 2024, as foreseen in the National Recovery and Resilience Plan.*
- Adoption of the National Integrity Agency Strategy 2022 – 2025, by Order of the President of ANI dated on 15.02.2022.
- In February 2022, the project entitled NIAct – Updating integrity legislation and providing support to authorities and depositors in the transition to digital declaration of asset and interest, project code SIPOCA 1158, was approved under POCA/949/2/2/Increasing transparency, ethics and integrity in public authorities and institutions, priority Axis 2, specific objective POCA 2. The project is implemented in partnership with the Ministry of Justice and the Romanian Association for Transparency, project implementation period being February 2022 – August 2023, and the total value of the project being 7.508.756,22 RON (of which non-reimbursable financing in the amount of 6.644.326,02 RON)
- Launch in May 2022 of a conversational platform (chat robot) – "e-DAI Assistant", intended for users of the e-DAI platform in order to support the efficient use of the platform and to provide support to persons interested in information on the system for completing and submitting declarations of assets and interest.
- Continuation of awareness raising activities for the submission of annual declaration of assets and interests during 2022, by organizing 13 online training sessions on the digitalisation of the process of filing annual declarations of assets and interest, attended by over 3.000 responsible persons and filers of such declarations.
- Strengthening bilateral cooperation between ANI and the National Transparency Authority of Greece and the High Commission for the Declaration and Audit of Assets and Conflict of Interest of Albania, by signing two Memorandum between both institutions in February 2022 and September 2022. This cooperation aims to raise awareness and encourage international cooperation through the exchange of knowledge, expertise and best practices on common area of interest.

- Signing of the Financing Agreement between the National Integrity Agency and the Ministry of Investment and European Projects in March 2022, with ANI as coordinator of reforms and/or investments under the National Recovery and Resilience Plan (NRRP)
- Participation of ANI integrity inspectors in two training sessions on the use of Open-Source Intelligence (OSINT) in conducting of assessment activity. The training sessions were delivered by a representative of the US Department of Justice, through Office of Overseas Prosecutorial Development, Assistance and Training (OPDAT).
- Increased institutional capacity including through attracting external non-reimbursable funds with results in developing expertise, strengthening international cooperation and increasing transparency, with 5 funding applications submitted during 2022, both as applicant and partner in projects.
- Successful implementation of the project "EMOD – Development of the institutional capacity of the National Integrity Agency to streamline internal workflows and the submission of declarations of assets and interest in the electoral and annual process". SMIS 129864, Priority Axis 1 – Efficient public administration and judicial system, where an IT platform was developed to streamline the work of integrity inspectors.
- Publication on ANI's website in April 2022, of the updated list of important public functions, following the adoption of Emergency Ordinance no. 111/2020 on amending and supplementing Law no. 129/2019 on preventing and combating money laundering and terrorist financing, the list of important functions was also sent to the European Commission.
- Launch of the European Network for public Ethics, with the National Integrity Agency as a founding member. The network is made up of 11 institutions with responsibilities in the field of ethics, transparency and public integrity from the following EU Member States: Austria, Belgium, Croatia, Czech Republic, France, Italy, Lithuania, Malta, Spain, Romania and Slovenia. The European Network for Public Ethics aims to promote a culture of public integrity and regulatory harmonisation between EU Member States by identifying best practices in this field and comparing the relevant legislation to encourage exchanges between its members.
- Starting from February 2021, ANI is the Chair of Network for Integrity for a 2-year mandate.
- Exporting best practices and strengthening international cooperation with institutions in the field of preventing and combating corruption with similar competences as ANI, with working meetings taking place during 2022 with several representatives of other countries involved in the fight against corruption.
- The objectives assumed by the National Integrity Agency Strategy 2022-2025 with the deadline of 31 December 2022 or with a permanent deadline have been implemented 95%. Thus, out of the total of 31 objectives assumed by the programme document, which also include objectives with a deadline of 2025, 61,29% were implemented or partially implemented by 31 December 2022.
- Achievement of a 71% "implemented" and "partially implemented" status of the recommendations for improvement made in previous audit reports indicating a high degree of commitment and efficiency on the part of the Institution's management.

Areas of vulnerability that may prevent the achievement of ANI's objectives and for which remedial action by management is still needed include the following:

- Insufficient workspace and file storage space;
- Shortage of human capital, as the level of job occupancy is 50% at the end of 2022, specifically 100 positions being occupied out of the total of 200 approved positions, the occupancy rate of posts is low. From the analysis of the employment testing held in previous years, a minimum level of interest in participating in the competitions organised was

identified, the reasons being, on the one hand, the non-competitive financial benefits in relation to the complexity of the work and, on the other hand, the lack of the statute clearly regulating the specific status of the Integrity Inspector, as defined by Law 176/2010, as amended.

- The administration of the systems/technologies currently used by ANI is totally dependent on service provided by external suppliers, with only one position of the 8 approved positions in the Information Technology Service being field.

Bucharest, May 24, 2023

In the name of:

TGS Romania Assurance & Advisory Business Services SRL

Registered in the Electronic Public Register of Auditors financial institutions and audit firms with FA number 91

Madeline Alexander

Registered in the Electronic Public Register of Auditors financial institutions and audit firms with FA number 36

For signature please refer to the
Romanian version

1 Objectives and Scope of the project

According to the Contract, the engagement's specific objective, as defined in the Tender Documentation, is to perform the external audit of the management of the National Integrity Agency (ANI), for the year 2022, in accordance with International Standards on Related Services (ISRS 4400 – Engagement Mission to carry out the agreed procedures). The purpose of this engagement is to contribute to the improvement of the general management of the National Integrity Agency and at a minimum to bring added value to the Agency, by carrying out an objective evaluation of the activity carried out by all structures of the Agency, and by drafting potential recommendations related to these findings.

The expected results of the project are as follows:

- Elaboration of a factual findings report on the performance of ANI's management system, detailed based on audit procedures carried out in accordance to legislation in force;
- Draft viable, specific, achievable and qualitative recommendations, meant to significantly improve the managerial performance of the Agency as part of a letter to the management of the Agency;
- Presentation of the findings in work sessions where recommendations are analysed;
- Integration of possible observations received from ANI's management in the analysis performed

2 Engagement approach, work plan and project phases

The project was approached in four phases, correlated with the objectives pursued to achieve project result, as follows:

1. General project planning;
2. Developing the engagement plan;
3. Performing the engagement plan;
4. Conclusions and reporting results.

2.1 General project planning

In the general project planning phase, we took into account two essential objectives: understanding of Agency's activity and understanding the risk environment. Therefore, as part of the planning phase, we carried out the following steps:

- Organize the „kick-off“ meeting;
- Prepare the preliminary request for information;
- Determine and establish the professional standards applicable to the engagement with ANI's management;
- Preliminary identification of potential issues;
- Establish the timeline for obtaining the information needed to develop the mission plan;
- Preliminary understanding and analysis of mission-related risks as identified by Agency management

On February 27th, 2023, before starting the actual fieldwork, we organized, at ANI's headquarters, a kick-off meeting with the following results:

- Presentation of the team members involved in the project, both from TGS and ANI, as well as their responsibilities;
- Mutual agreement for a preliminary timetable to carry out the engagement activities, deadlines for execution and reporting for the project;
- Submitting a preliminary information request
- Mutual agreement for the communication protocol between the TGS and ANI teams.

2.2 Developing the engagement plan

Based on the information obtained in the first phase, we identified the areas of this engagement (both the main structures of the Agency and the support structures) and evaluated the internal operational workflow and the internal managerial control system in order to achieve effective engagement planning. We developed the engagement plan, on the following structure:

- Establish and agree the verification techniques used (observation, analysis, testing, confirmation);
- Organising interviews aimed at identifying and understanding specific risks
- Analyse the decision-making process and the actions taken during the year 2022, in order to use these in the sampling process; based on this analysis, we agreed with the management of the Agency on the sampling strategy so that the selections subject to verification are relevant for the purpose of this project;
- Monitoring the implementation status of the recommendations formulated as a result of the audit missions performed during previous years;
- Establish together with the relevant staff, the format and content of the interview templates;
- Establish the format and content of detailed tests;
- Establish the size sample to be tested for each ANI structure (direction, service, office or compartment, as the case may be).

By the end of these two phases, on March 6th, 2023, we delivered the Initial Report to ANI management for approval. In this report we made a presentation of the verification procedures applicable to each ANI structure, sampling methodology and engagement planning phases. The report was approved without objections by ANI management, being registered with no. 6236/06.03.2023.

2.3 Execution of the engagement plan and performance of verification procedures

During this phase, we carried out the procedures agreed upon with ANI management that included tests and interviews in order to conclude whether the policies, procedures and systems are compliant with both the national legislation in force and with the best practices in the field.

The verification procedures were performed in several stages:

1. Sampling:

In order to obtain audit evidence, in accordance with the International Standards on Related Services (ISRS) - *4400 Engagements to perform agreed - upon procedures*, on the basis of professional judgement, we determined the audit risk correlated with the activity and processes of the Agency and we designed the verification procedures so as to ensure a low risk to an

acceptable level. During this process we took into consideration the specific objectives and the purpose of this project, as well as the status of the recommendations resulting from the audit engagements performed in previous years.

Based on statistical evidence, made available to us by the ANI team, regarding the specific activities of the National Integrity Agency in 2022, we analyzed the situation of the works performed as part of ANI core activity in 2022 (the population subject to sampling), we determined the stratification criteria and we randomly selected the testing sample, based on the following rule, agreed with ANI's management:

Total population (number of iterations of control activities)	Sample size*
Over 350	20
52-350	10
13-51	5
5-12	2
1-4	1

** When establishing the sample for the Integrity Inspection, we took into account a maximum of 20 files for each of the 3 statuses (settled, dismissed and in progress). The core activity of the Agency is performed by this specific structure.*

The sampling methodology was agreed by the Agency's management, for each structure, as part of the Initial Report and detailed tests were applied on the selected sample.

2. **Verification of the performance of managerial tasks by Agency's management**, based on the selected sample:

- Verification of compliance with operational procedures (formalization and observance of the procedural flow; use of standard documents defined in the procedural framework; documentation of analysis and evaluation indicators);
- Analysis of the effectiveness of ANI organization in relation to set objectives;
- Verification of the communication system within ANI;
- Analysis of decisions management and instrumentation process;
- Monitoring the functioning / performance of ANI management, in compliance with the principles of forecasting, organization, coordination, management and internal control;
- Analysis of the manner in which managerial attributions are being fulfilled by the ANI management as well as verification of the existence, performance and efficiency of managerial controls.

3. **Staff workload analysis**, respectively the analysis of the adequacy of the allocated resources compared to workload.

4. **Assessing the adequacy and operational effectiveness of overall controls of the IT system**

Review of the IT system in order to assess the extent to which the IT system meets the needs resulting from the specific tasks that ANI has to perform, including from the point of view of security environment.

5. **Stages of the management quality assessment procedure**, respectively the verification of the existence and adequacy of the following elements:

- Reporting chart;
- Decision-making process at Agency level;
- The circuit of documents;
- System and operational procedures;
- Attributions and responsibilities, delimitations and delegations of competence, diagrams of relations, clearly formulated in the Organization and Operation Regulations as well as in mandate contracts signed by managers of the Agency in 2022;
- Observance of the random principle as it applies to the distribution process for of evaluation of files;
- Observance of deadlines for completion of works/files.

At the same time, the following aspects were taken into consideration while performing our verification procedures:

- Understanding and knowledge of internal rules and procedures, respectively we analysed and we familiarized ourselves with:
 - ✓ Regulation of Organization and Functioning of ANI (hereinafter referred to as ROF), approved by Order of the President of ANI no. 14409 / 10.10.2019 as amended and supplemented
 - ✓ Provisions of Law no. 144 of May 21, 2007, republished - regarding the establishment, organization and functioning of the National Integrity Agency, including subsequent modifications and completions;
 - ✓ Provisions of Law no. 176 of September 1, 2010 - regarding integrity in the exercise of public officials and dignities, for the amendment and completion of Law no. 144/2007 regarding the establishment, organization and functioning of the National Integrity Agency, as well as for the modification and completion of other legislation, including subsequent modifications and completions;
 - ✓ Provisions of Law no. 105 of July 9, 2020 for the completion of Law no. 176/2010 on integrity in the exercise of public functions and dignities, for amending and supplementing Law no. 144/2007 regarding the establishment, organization and functioning of the National Integrity Agency, as well as for the modification and completion of other legislation;
 - ✓ Internal operational procedures, identifying responsibilities for each structure, distribution of tasks, applicable legislation, and operational flows for various types of works.
- Verification of primary documents (operational procedures, orders, various reports, etc.), in order to ensure thorough understanding of terms and conditions of significant importance, both individually and globally, in order to assess their area of applicability
- Specific observation, questioning, confirmation and detail tests.

The details of the elements to be verified were established, on a case-by-case basis, using the applicable audit trails and applicable operational procedures manuals.

2.4 Reporting phase

Following the evaluations made in accordance with ISRS 4400, TGS Romania has submitted to ANI management this factual finding report containing the deficiencies identified regarding internal processes and/or procedures applicable at the Agency's level.

The Factual findings are detailed in the next chapter, for each of the structures verified.

3 The Stage of Implementation of the objectives assumed by the Strategy of the National Integrity Agency 2022-2025

The National Integrity Council approved, by Decision no. 1 dated February 10, 2022, the "Strategy of the National Integrity Agency 2022-2025". At ANI level the applicable regulation is the Order of the President of ANI no. 3889 / 15.02.2022 approving Strategy of National Integrity Agency 2022 – 2025, and, at the same time, to make the Strategy Monitoring and Implementation Commission was established. The implementation of the objectives of the ANI's Strategy is the responsibility of all departments within ANI, in accordance with the Strategy Action Plan.

We have obtained the National Integrity Agency Strategy 2022 – 2025 as well as the ANI Strategy Action Plan 2022 - 2025. ANI Strategy 2022 - 2025 was structured on seven areas of intervention: (1) Evaluation and consolidation of the integrity legislative framework; (2) Evaluation of integrity incidents; (3) Prevention of integrity incidents, (4) Communication and awareness; (5) Administrative capacity; (6) National cooperation; (7) International relations and include 31 objectives. The action plan of the ANI Strategy 2022 – 2025 details for each of the 31 assumed objectives, the deadlines, responsible, financial.

We have verified the stage of implementation of each one of the measures included in the Strategy 2022 -2025, and following the tests performed, the degree of implementation of the Strategy objectives at the end of 2022 is 95%, so 19 of the 20 objectives with a deadline of 31 December 2022 or a permanent deadline have been implemented or partially implemented. Of the total of 31 objectives assumed by the programme document, which also include objectives with a deadline of 2025, 61,29% were implemented or partially implemented by 31 December 2022.

Total number of measures	Implemented	Partially implemented	Not implemented
31*	12	7	12

**We note that 20 objectives have an implementation deadline of 31 December 2022 or with permanent deadline.*

Please refer to Annex 1 for a detailed analysis of the progress related to the objectives assumed by the National Integrity Agency Strategy 2022 - 2025.

4 Remediation status for deficiencies identified during the verifications performed prior to year 2022

Following the tests performed, the statistics on the status of remediation of observations identified prior to year 2022, are presented below:

Directorate/ Department	Total number of recommen dations	Status			
		Impleme nted	Partially implemen ted	Not implemen ted	Recommendation s that have been removed as no longer applicable
Integrity Inspection	7	-	6	1	-
Internal Public Audit Department	2	-	1	-	1
Advisory and Legislation Department	1	-	1	-	-
Implementation of Structural Funds, Studies and Strategies Department	1	-	-	1	-
Human Resources Department	1	-	1	-	-
General Registry and Archive Department	1	1	-	-	-
Internal managerial control system	2	1	-	1	-
Personal data processing activities	3	-	1	2	-
Information Technology Department	12	4	4	4	-
Procurement, Investments and Administrative Department	3	-	3	-	-
Accounting Department	2	2	-	-	-
Total	35	8	17	9	1

For details on the implemented / partially implemented recommendations please refer to *Chapter 5 Working methodologies specific to each area verified in 2022*

5 Working methodologies specific to each area verified in 2022

5.1 President, Vice President and General Secretary

The National Integrity Agency is operating as an autonomous administrative authority at national level and is acting according to the principle of operational independence. The legal framework for carrying out Agency's activity is regulated by Law no. 144/2007 and Law no. 176/2010 regarding the integrity and dignity in the exercise of public functions, for the amendment and completion of Law no. 144/2007 regarding the establishment, organization and functioning of the National Integrity Agency, as well as for the modification and completion of other normative acts, with the subsequent modifications and completions.

In accordance with Law no. 144/2007 on the establishment, organization and functioning of the National Integrity Agency, the management of the Agency is ensured by a president and a vice-president.

In accordance with the Decision of the Romanian Senate no. 89/2021, the President of ANI has been appointed for a period of 4 years, following the completion of the competition for the position of President of ANI organized between June 14th - June 24th 2021.

During 2022, the selection procedure for the position of ANI Vice-President was held. Following the completion and validation of the competition for the position of Vice-President of ANI, organized between December 5th – December 12th 2022, by the Decision of the Senate of Romania no. 174/19 December 2022, the Vice President of ANI has been appointed for a period of 4 years.

At the Agency level, the General Secretary of ANI who coordinates the activities established according to the Agency's organizational chart and fulfills other attributions delegated to him by the president of ANI. The General Secretary has been appointed by Prime Minister's Decision no. 7/2016.

We analysed the attributions Agency's management as per Regulation of Organization and Functioning of ANI and organized interviews with Agency's management, in order to analyze the conformity of the practical activity with the provisions of the ROF.

In 2022, no discrepancies have been identified between the practical activity and the ROF provisions regarding the positions of President, Vice-president and General Secretary.

5.2 Integrity Inspection

At ANI level, the Integrity Inspection is organized as a general directorate. The Integrity Inspection Department is subordinated to this structure and includes The Analysis and Prevention Department, 4 Service lines of the Integrity Inspection and the Inspection Registry Department, at the end of 2022, the activity of the Integrity Inspection was carried out by 38 inspectors compared to 45 inspectors at the end of 2021.

5.2.1 Integrity Inspection Services (4 services)

The evaluation activity performed in relation to the verification of assets, during the period in which targeted individuals exercise public dignities and functions, as well the evaluation activity performed in relation to potential conflicts of interests or incompatibilities as per Law no.

176/2010, with subsequent amendments and completions, is performed by the integrity inspectors within the 4 services of the Integrity Inspection.

Considering the attributions of the Integrity Inspection established by the Regulation of organization and functioning of ANI, as well as by under the provisions of Law no. 176/ 2010 on integrity in the exercise of public functions and dignities, amending and completing Law no. 144/ 2007 on the establishment, the organization and functioning of ANI, we proceeded to analyse the conformity of the practical activity carried out within the 4 services of the Integrity Inspection. The analysis also aimed to determine the level of compliance with operational procedures applicable to the Integrity Inspection in 2022 as well as observance of applicable legislation.

In order to evaluate the management activities within the 4 services of the Integrity Inspection, we selected a sample based on the following procedure:

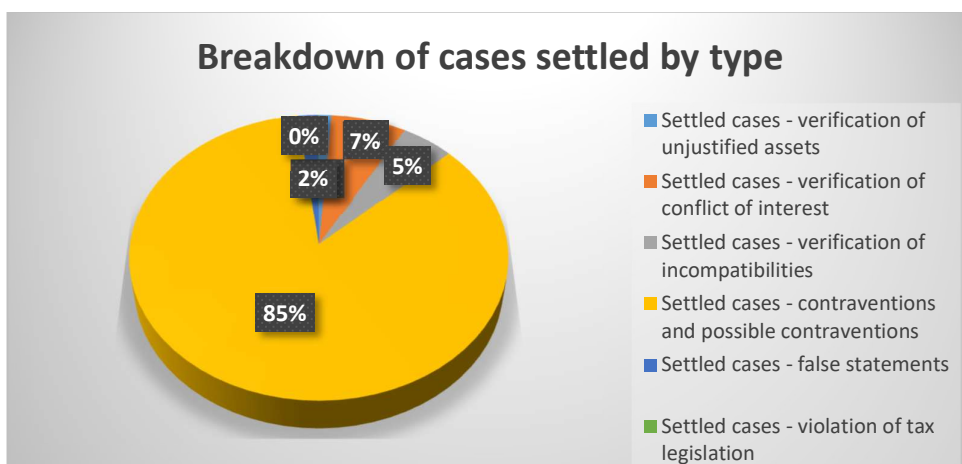
1. We requested the statistics regarding the number of files verified by ANI in 2022, based on the following structure: files settled, files dismissed and files in progress as of December 31, 2022;
2. Based on the statistics, on our professional judgement associated with the relevant risk as well as on the activity of Integrity Inspection specifics, we determined the size of the sample subject to analysis, namely a maximum of 20 files corresponding to each of the 3 statuses (settled, dismissed and in progress). In the process of selecting our samples and exercising our professional judgement we considered the impact of the relevant recommendations from previous years on the examined population as well as risk levels for non-compliance with the current operating procedures
3. We have requested the list of the files which were subject to evaluation procedures performed by the Integrity Inspection in 2022;
4. Based on the list of files, we randomly selected the sample of files subject to verifications.

Following the procedures presented above, a sample of 60 files resulted, structured as follows:

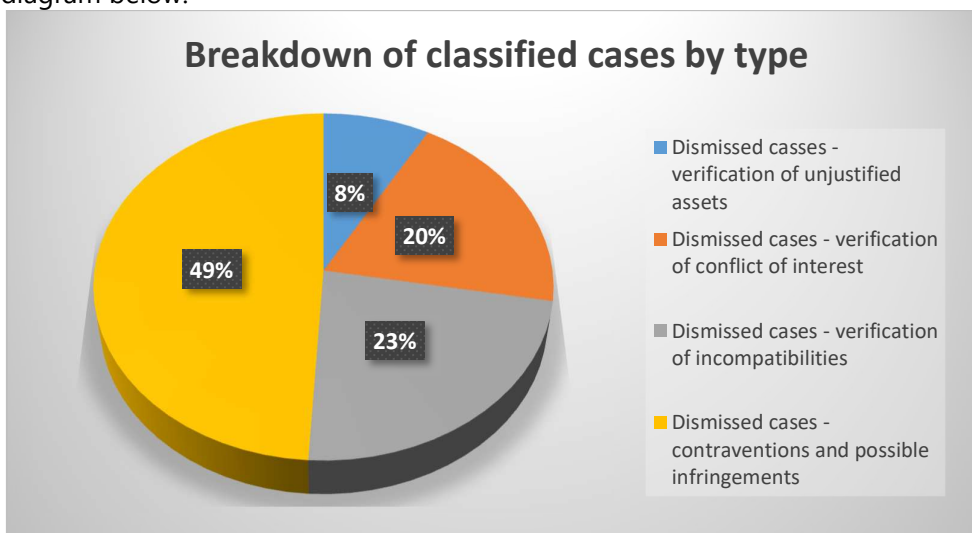
Type of files in 2021 Integrity Inspection (1 st of January – 31 st of December 2021)	Number of works	Sample size
SETTLED CASES	1397	20
Settled cases - verification of unjustified assets	16	1
Settled cases - verification of conflict of interests	98	3
Settled cases – verification of incompatibilities	69	2
Settled cases – contraventions and possible contraventions	1187	12
Settled cases – false statements	26	1
Settled cases – violation of tax legislation	1	1
DISMISSED CASES	2029	20
Dismissed cases – verification of unjustified assets	167	2

Dismissed cases – verification of conflicts of interest	397	3
Dismissed cases – verification of incompatibilities	470	5
Dismissed cases – contraventions and possible infringements	995	10
CASES IN PROGRESS	2685	20
Cases in progress – verification of unjustified assets	808	6
Cases in progress – verification of conflicts of interest	865	6
Cases in progress – verification of incompatibilities	616	5
Cases in progress – contraventions and possible infringements	396	3

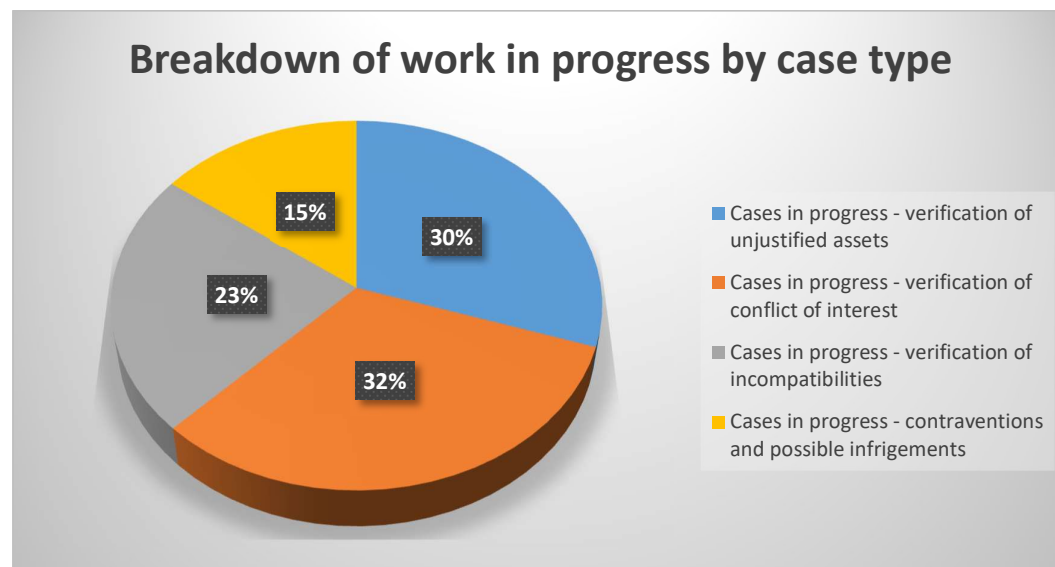
During 2022, the breakdown of settled cases by type of files is presented in the diagram below, noting a percentage of 85% having as objective contraventions and possible infringements:



As for cases dismissed during 2022, 49% of the total refer to contraventions and possible infringements, and 23% refer to dismissed cases related to incompatibilities, as presented in the diagram below:



At the end of 2022, the distribution of cases in progress by type of works is presented according to the figure below:



The activity of the Integrity Inspection is standardized and is carried out in accordance with specific operational procedures, elaborated in accordance with provisions of Order no. 600/2018 on the approval of the Code of internal managerial control of public entities.

We have obtained and analysed the procedures applicable to the Integrity Inspection and proceeded to verify the sample of 60 selected files, against the operational flow described in the procedures specific to each type of file (unjustified assets / conflict of interest / incompatibilities / contraventions/ possible contraventions, false statements and violations of tax legislation).

Based on the Statistical evidence regarding the activity carried out by each integrity inspector in 2022, we analysed the workload level per inspector. Here are our findings:

- ✓ The average number of files evaluated by each inspector is approximately 20 files
- ✓ The average number of notifications elaborated as part of their files is 580 addresses per inspector
- ✓ The average number of fines reports (possible infringements) is 9 reports per inspector;
- ✓ The average number of possible infringements reports(contraventions) is 37 reports per inspector;
- ✓ The average number of dismissal reports prepared is 70 per inspector.

Compared to 2021, in 2022 there is an increase in the number of files assigned per inspector while the number of job positions filled in the 4 services (departments) of the Integrity Inspection is 26 out of the 76 approved at the end of 2022. Thus, at the level of the 4 services of Integrity Inspection the job occupancy rate is 34% at the end of 2022.

During 2022, in accordance with the 2022 Activity Report of the Agency, the activity of integrity inspectors focused on the following aspects:

- ✓ finalizing of a number of 1,311 files and identifying 69 cases of incompatibility, 62 cases of conflicts of interests and 16 cases of unjustified differences between wealth and realized income; 63 cases concerning 57 persons in which indicators of criminal offences were found (use of function to favor other persons, criminal conflict of interest, false declarations, intellectual forgery and violation of tax legislation).
- ✓ enforcement of 952 contraventions, for failure to submit assets and interests declarations within the term provided by law, non-application of disciplinary sanctions, as a result of final evaluation reports, etc.;
- ✓ settlement of 5.116 petitions made, either on paper or by e-mail by, by citizens or organizations;
- ✓ analysis of 5,174 asset declarations, at the request of depositors to ensure the confidentiality of their income.
- ✓ verification of 437 possible contraventions for failure to submit declarations, in which 944 declarations were analysed.
- ✓ Involvement of 11 integrity inspectors in projects financed by non-reimbursable external funds (within the NIACT project – starting from 22 February 2022 and the EMOD project – until 1st October 2022)
- ✓ training, as part of 13 training sessions, 3.000 persons responsible for implementing legal provisions regarding assets and interests declarations as, as well as depositors from public authorities and institutions, with regards to digitalization of the process of filing assets and interests declarations and the legal regime of incompatibilities and conflicts of interest;
- ✓ training, as part of two sessions organized within the NIACT project, 41 persons responsible for the implementation of the provisions of Law no. 176/2010.
- ✓ Participation, as lecturers, in 5 training sessions in the field of prevention and fight against corruption and transfer of best practices between teams of practitioners (prosecutors, judicial police officers, prevention officers), organized by the General Anticorruption Directorate, in the framework of the Project ROFSIP2021OS5A04PO2 – Integrated development of anti-corruption tools – ANTICOR_INT;
- ✓ Supporting two internship strategies for students from the University of Bucharest – Faculty of Law and National School of Political and Administrative Studies; internships duration was approximately 3 weeks
- ✓ Participation in 20 domestic and international public integrity events;
- ✓ Participation of 15 integrity inspectors in training/professional development programs.

We analysed the manner in which the process of supervising the activity of integrity inspectors is carried out and we verified the compliance of the supervision process with provisions of the operational procedure regarding the supervision of the activity of integrity inspectors (PO – II -14).

As a result of the verifications performed on the activity of the 4 integrity services with reference to the year 2022, we identify the following observation:

- *The job occupancy rate at the level of the 4 services of Integrity Inspection is extremely low, out of the 76 job positions approved at services level only 26 positions are filled, resulting an occupancy rate of 34% and the average number of files per inspector has increased compared to the previous year. Although there have been several employment tests to fill these positions in recent years, the occupancy rate has been low. From the analysis of the tests organized in previous years, it was identified that there was a low*

level of interest in the participation in the job testing sessions organized, the reason being, on the one hand, the non-competitive financial compensation benefits of the job in relation to the complexity of the work and, on the other hand, the lack of a specific legislation clearly regulating the special status of the Integrity Inspector, as defined by Law 176/2010, as amended.

Follow up on the remediation of the findings identified as part of audit engagements performed period prior to year 2022:

The following deficiencies were **partially remedied**:

- *The reminders were not drawn up and sent to the institutions that failed to respond to ANI's initial letters in the procedure term of 30 days;*

At the time of the audit, the SIMIDAI application does not permit reports to be generated showing cases where return addresses have been prepared and sent within 30 days. Simulations are regularly carried out on the SIMIDAI application by a group of integrity inspectors in order to test its functionality and the estimated time for the implementation of the application is April 2023.

Thus, as a result of our verifications on the selected sample, we did not identify any cases in which reminders were prepared or sent with delay. Furthermore, integrity inspectors also contact the institutions in question by telephone, in order to streamline the process of obtaining the required information, the conversation being materialized in telephone conversation reports in which the status of the response is reported as communicated, without affecting the evaluation activity.

- *Following the verification of the selected files, we identified that, although the provisions of operational procedures regarding the requests for information are generally observed, in some files, we identified periods longer than 6 months during which integrity inspectors did not prepare the evaluation report and were not redistributed to other inspectors. Delays in issuing procedural documents were generated by constant legislative changes, court activity, inadequate workspace. Nonetheless delays were also due to the fact that in 2020 the activity of inspectors was carried out mainly from home or in teleworking conditions, in compliance social distancing measures imposed by the COVID-19 pandemic. Furthermore, the database could not be accessed from home or from other remote location. Also, the supervision process performed by the heads of the 4 services is carried out by extracting information from SIMIDAI and manually processing the information in order to generate different statistics. Moreover, heads of services are allocated, in addition to the activity of supervision and monitoring of inspectors, the same number of files as to an integrity inspector. This has a direct impact on the quality of monitoring the inspectors works which can register delays in issuing procedural documents and such delays remain unaddressed.*

Based on our verifications performed on the sample selected for 2022, we found no delays in issuing procedural documents. Once the SIMIDAI application will be based on new allocation algorithms, the number of files distributed to the heads of each department (services) will be significantly lower compared to those assigned to inspectors, so as to allow the allocation of 75% of their time to the management aspects and inspector's work supervision. The percentage of time allocated to the process of managing the activities and supervising the work of inspectors will be related to the number of inspectors in each service/department.

The allocation of work to integrity inspectors will be implemented through the new system, called eSIMIDAI, which will be completed in the second quarter of 2023, and currently the process of allocating work to integrity inspectors is done through the current form of the IT application.

- *Lack of a high-performance IT system allowing inspectors to prevent the intervention of the prescription terms (imposed by the provisions of art. 11 and art. 25 par. (5) of Law no. 176/2010, with subsequent amendments and completions), by generating warning messages.*

Considering the high impact, on the evaluation activity, of the two deadlines provided by articles 11 and 25 of Law no. 176/2010, the new SIMIDAI application, which will be available once the application is up and running, will implement a system of frequent alerts to the integrity inspectors, which will also be viewable by heads of service (depts.) and directors of service (depts.), respectively. Also, for the works that will be prescribed within 6 months, the inspector in charge will receive alerts via SIMIDAI, and two months before the prescription, the alerts will also be received by the head of service. Furthermore, the prevention of the occurrence of time-barring periods has been mentioned as an objective in the performance assessment of integrity inspectors for the year 2022, respectively performing evaluation with violation of the two legal deadlines will lead to a significant decrease in the final rating of the inspectors' performance evaluation.

- *The process of supervising the activity of inspectors is performed by the management of the Integrity Inspection by extracting information from several sections of the SIMIDAI application and manually entering the information in personalized statistics. This aspect generates negative impact on the supervision process. Also, there is no differentiated distribution of files, as the heads of services, in addition to the activity of supervision and monitoring of inspectors, are being allocated the same number of files as to integrity inspectors.*

Based on the new allocation algorithms provided in the new version of the SIMIDAI application, the heads of the four services will have a significantly smaller number of files assigned compared to that of the service inspectors, so as to allow the allocation of 75% of their time to management aspects and supervising inspectors' work. Inspectors work monitoring will be performed exclusively using the SIMIDAI application, expected to be fully implemented in the second quarter of 2022.

- *The workload per inspector is high in relation to the volume of activity and the types of activities performed by inspectors (petitions, possible contraventions, contraventions, support to legal councilors during representation before courts of law, in case of contested cases), the level of vacancies at the level Integrity Inspection being over 50% at the end of 2020.*

During 2022, no employment testing was organized to fill vacant positions within the Integrity Inspection Directorate, so at the end of 2022, out of the 76 job positions approved at the level of the 4 services of Integrity Inspection only 26 positions are filled. According to the discussions with the Director of the Integrity Inspection Directorate, in 2023 priority will be given to organizing two rounds of testing to fill 8 positions of integrity inspectors.

- *Constant legislative changes impact negatively the activity carried out by integrity inspectors. With each legislative change integrity inspectors must identify the files in their*

portfolio that could be affected and to prioritize files so as to reduce the impact on the activity of the National Integrity Agency.

The financing contract for NIAct project was signed in February 2022, The project will enable update and unification of the legislation governing the legal regime of incompatibilities, conflicts of interest and unjustified assets. The project "NIAct - Updating integrity legislation and providing support to authorities and depositors in the transition to digital assets and interests declarations", funded through the Operational Programme Administrative Capacity, has the following objectives:

- ✓ Updating the legal framework for preventing and sanctioning conflict of interest, incompatibilities and unjustified assets;
- ✓ Supporting public authorities and institutions in order to optimize the process of electronic submission of DA / DI and the development of unitary procedures; Developing specific know-how for persons from the public institutions designated as responsible for the process of completing and electronic submission of assets and interests declaration, through the e-DAI system.

So far, the legal provisions per function category have been centralized and the legislative discrepancies that undermine the legislator's purpose in Law 176/2010 have been highlighted. At the time of the audit, the work on the NIAct project is at the draft regulatory act stage.

The following deficiency **was not remedied**:

- *Lack of adequate workspaces, which could allow the integrity inspector to organize, store and manage files so as to minimize the risk of not meeting the deadlines provided in art. 11 and art. 25 paragraph (5) of Law no. 76/2010.*

Although efforts have been intensified to identify suitable new workspaces, no new working spaces have been identified during 2022, that would facilitate the development of ANI's activity. The lack of adequate workspace for integrity inspectors to carry out activities, is not the sole reason, but one important one impacting the optimal working conditions of ANI employees.

5.2.2 Analysis and Prevention Department

The Analysis and Prevention Department functions under the provisions of Law no. 184/2016 regarding the establishment of a prevention mechanism for conflicts of interest in the procedure of awarding public procurement contracts and in compliance with the provisions of Law no. 176/2010 on integrity in the exercise of public functions and dignities, for amending and supplementing Law no. 144/2007 regarding the establishment, organization and functioning of the National Integrity Agency, as well as for the modification and completion of other legislation.

The Analysis and Prevention Department coordinates the activity related to utilization of the integrated information system for the prevention and identification of potential conflicts of interest, named "PREVENT - Prevention System". The system aims to prevent conflicts of interest by establishing a mechanism for ex-ante verification, in order to exclude situations that may generate conflicts of interest. Targeted procedures are public procedures regulated by Law no. 98/2016 on public procurement, as well as sectoral procurement procedures regulated

by Law no. 99/2016, initiated through the electronic public procurement system, and prevention activity is organized without affecting the respective procedures.

From the point of view of the Agency's internal regulatory framework, the Operational procedure for preventing conflicts of interest in the process of awarding public contracts (PO-II-15), revised in 2021, is the one that defines the process of verifying public procurement procedures initiated through the electronic public procurement system, in order to prevent conflicts of interest and other suspicions of irregularities.

Thus, in view of evaluating the management actions within the Analysis and Prevention Department, a sample was selected based on the following procedure, agreed upon with ANI's management:

- ✓ a request was made for the statistics regarding all public procurement procedures published in SICAP, that were automatically transmitted to PREVENT system in 2022, which were subject to verification by integrity inspectors
- ✓ the size of the sample subject to analysis was determined;
- ✓ the sample of procedures subject to testing was randomly selected.

Based on the methodology presented above, a sample of **5** public procurement procedures resulted, corresponding to a number of **22** public procurement procedures which were part of the verification performed by the Analysis and Prevention Department in 2022 and for which the PREVENT system has generated a notification of the existence of a potential conflict of interest. It should be noted that throughout 2022, the total number of procurement procedures that were introduced under the PREVENT system was **19.335** procurement procedures of which for 22 procedures, the system has generated a notification of potential conflict of interest.

The sampling testing methodology was developed following the understanding and evaluation of operational procedures, of Law no. 184/2016 of October 17th, 2016 regarding the establishment of a prevention mechanism for conflicts of interest in the procedure of awarding public procurement contracts as well as based on the functionality of the PREVENT system.

We have analysed the content of the specific operational procedures, regulating the verification of procedures initiated through the public procurement system, in order to understand specific workflows and internal processes at the level of the Analysis and Prevention Department and to determine relevant criteria for stratifying the sampling base. Through interviews with the head of the Analysis and Prevention Department, we were able to analyze the level of compliance of workflows against the existing internal procedural framework, in 2022.

At the level of year 2022, as a result of the verifications performed on the activity performed by the Analysis and Prevention Department, as well as on the sample of specific works, we did not identify exceptions..

5.3 Legal, Public Relations and Communication General Directorate

5.3.1 Contentious Department

During the external audit engagement, we have analysed the organization and development of internal processes at the level of the Contentious Department, part of the Legal, Public Relations and Communication General Directorate (LPRCGD).

According to the information provided by the General Manager of LPRCGD, the activity of the Contentious Department is generally focused on preparing documents for institution's defences before courts of law and on representation of the Agency before courts of law. However, in the alternative, in situations where legal advisers that are part of the Advisory Services and Legislation Department experience excessive workload, part of the activity of the legal advisers in Contentious Department may also refer to the elaboration of the answers to the requests formulated based on O.G. no. 27/2002 that are being addressed to ANI.

Following the examination of the legal file registry, containing 196 legal files that were addressed by legal advisors during 2022, the database which was considered representative in terms of testing the conformity of the main activity performed as part of the Contentious Department, namely preparing documents for institution's defences before courts of law and representing the Agency before courts of law, we have randomly selected a number of 10 legal files, taking into consideration the inclusion of at least one legal file per case type.

5.3.2 Advisory Services and Legislation Department

During the external audit engagement, we have analysed the organization and development of internal processes at the level of the Advisory Services and Legislation Unit, part of the Legal, Public Relations and Communication General Directorate General Directorate (LPRCGD).

The activity of legal advisers, members of the Advisory Services and Legislation Department, refers to the following activities:

- ✓ preparing answers to the requests formulated based on O.G. no. 27/2002 regarding the regulation of the activity of solving petitions;
- ✓ endorsement of contracts;
- ✓ endorsement of internal documentation and communication, as well as notifications sent to various public institutions;
- ✓ providing legal advice to different structures of the Agency, as well as the formulation of points of view regarding the application of legal norms;
- ✓ elaboration of points of view regarding legislative projects, protocols, memoranda, framework cooperation agreements to be approved and endorsed or signed by ANI management.

According to the information provided by the General Manager of LPRCGD, although the activity of the Advisory Services and Legislation Department is focused on carrying out the above-described activities, legal advisers are assigned (including in their job descriptions) legal files in order to formulate defences on ANI's behalf or in order to represent the Agency before the courts of law, according to the specific operational procedures, in cases where the excessive workload of legal advisers which are part of Contentious Department's team do not allow them to exercise their duties.

With strict reference to the preponderant activity of the Advisory Services and Legislation Unit, namely that of elaborating the answers to requests formulated in accordance to GD no. 27/2002, we have selected for analysis a sample of 10 responses to requests, from the total population of 2794 requests registered in 2022 included in the database provided by the General Manager of LPRCGD.

Since during our verifications we observed the interpenetration of activities performed by the two departments (Contentious and Advisory Services and Legislation) - legal advisers from the Advisory Services and Legislation Unit preparing defences and vice versa, legal advisers from the Contentious Department formulating answers to petitions - we decided to formulate our observations and conclusions in a centralized manner in our factual findings report.

Given the limited number of legal advisers to ensure the representation of the Agency's interest before the courts, ANI requests in all cases a default judgement in order to avoid procedural incidents such as suspension. The physical presence of legal advisers in the court is necessary, in the following two situations:

- ✓ In all cases pending before the High Court of Cassation and Justice, the Bucharest Court of Appeal, as well as in cases that may set a precedent for judicial practice.
- ✓ At the Courts of Appeal and the Wealth Investigation Commissions of the Courts of Appeal, outside Bucharest, in cases involving the identification of significant differences (as a result of the evaluation of assets declarations, data and information on existing assets, as well as significant patrimonial changes during the course of public office or public dignity exercise)

At the beginning of 2022, the ethics counselling activity was transferred to a person employed as a legal adviser in the Legal Directorate from the Human Resources Department. Following interviews with the Ethics Counsellor we found that, at the time of the transfer of the Ethics Counsellor function to the Legal Directorate, the procedure PO 31 HRD – "Monitoring compliance with the rules of conduct by civil servants and contract staff in the ANI" ceased to have effect and at the level of the Legal Directorate, another procedure replacing the procedure developed by the Human Resources Services had not been developed at the time of the audit.

In conclusion, at the level of year 2022, by analyzing the procedural framework and the degree of compliance in relation to it, based on the selected samples and the interviews we had, we identified the following system observation;

- *Regarding the ethics counselling activity, transferred from the Human Resources Service in 2022 to a person employed as a legal counsellor in the Legal Directorate, we have not identified a system procedure describing the process of monitoring compliance with the rules of conduct by civil servants and contract staff within ANI.*

Follow up on the remediation of the findings identified as part of audit engagements performed period prior to year 2022:

The following deficiency was **partially remedied**:

- *Number of legal advisors is insufficient for the workload.*

In December 2022, the cumulative staff structure for both departments, the Contentious Department and the the Advisory Services and Legislation Department, includes 19 positions (12 positions occupied by civil servants - legal advisers, including management positions and 7 vacancies - out of which 2 are temporarily vacant). According to the information provided by the General Manager of LPRCGD, legal advisers in the Advisory Services and Legislation Department are frequently involved in activities that normally fall within the attributions of legal advisers in the Contentious Department and vice versa, the staff proving to be often insufficient to address the current workload. Filling out vacancies would facilitate the

development of the activity of the two departments in optimal conditions and would ensure the segregation of tasks and types of works between the two departments.

5.3.3 Communication, Public Relations and Strategy Directorate

Communication and Public Relations Department

Communication and public relations of the National Integrity Agency are provided by the Communication and Public Relations Department (hereinafter "CPRD"). The attributions of CPRD are provided in the Regulation on the organization and functioning of the National Integrity Agency. The activity of the department is standardized and conducted based on the specific operational conditions elaborated in conformity with the Order No. 600/2018 regarding the Internal/Managerial Control Code for public entities, published in the Official Gazette on May 7, 2018.

We proceeded to verify the conformity of the practical activity of CPRD with the provisions of operational procedures, we organized interviews with department representatives and we evaluated via detailed tests, based on a sample, the following processes:

- ✓ The factual functioning of the system process for elaborating answers to the requests formulated based on Law 544/2001;
- ✓ Compliance of press monitoring activities with the provisions of the operational procedures applicable to this process.

Regarding the process of elaborating the answers formulated based on Law no. 544/2001, we performed the following procedures:

- ✓ we selected from the "Register of requests made under Law 544/2001", a sample of 10 requests out of the total 61 requests for public information registered in 2022 in order to verify observance of deadlines set out in the applicable operational procedure;
- ✓ verified the existence of the mandatory public information, on Agency's website, in accordance with Law no. 544/2001.

To test the press monitoring process, we selected 5 days out of the total working days of 2022, for which we checked whether the press monitoring activity was carried out in accordance with the provisions of the operational procedure. We also selected a sample of 5 press releases out of the 36 registered in the Register of press releases in 2022.

We obtained the operational procedures and system procedures applicable to each process and we evaluated the documentation applicable to each process in terms of periodicity, compliance with legal provisions, authorization, and observance of legal deadlines.

Also, we obtained ANI reports to the Ministry of Justice with regards to the result of the evaluation on Agency's progress under the Cooperation and Verification Mechanism (CVM), in the context of the European Commission's assessment of significant developments related to the "Rule of law", as part of National Anticorruption Strategy, as well as G.R.E.C.O. reports.

Regarding the implementation of the National Integrity Agency Strategy 2022 – 2025, we evaluated the process of implementation of the objectives set out in the Strategy. A detailed analysis of the progress registered in the implementation of the objectives set out in the ANI Strategy 2022 – 2025 can be found in **Annex 1** to this report.

In 2022, following the evaluation of operational procedures and based on our verification methodology no observations were identified with regards to the activity of the Communication and Public Relations Department.

Implementation of Structural Funds, Studies and Strategies Department

In consideration of the attributions of the Implementation of Structural Funds, Studies and Strategies Department (hereinafter "ISFSSD"), as they are established by the Regulation on the organization and functioning of the National Integrity Agency, we analysed the conformity of the practical activity carried out in the department with provisions of operational procedures.

Thus, we have organized an interview with the head of the department, during which the following issues have been addressed:

- ✓ Analysis of the activities carried in this department, in 2022;
- ✓ Understanding the management methodology for these projects which are being financed from non-reimbursable sources and implemented at Agency level;
- ✓ Defining the management process related to identifying national and / or external financing sources;
- ✓ Identification of possible risks in relation with various areas of activity in order to increase the efficiency of activities carried out at Agency level.

Following our interview with the head of department, we were informed that during 2022, the activities of the service were performed by only two employees.

The activities of the department included the following:

- ✓ Identification and evaluation of Agency needs for project applications, including preparing the documentation necessary for submitting applications for non-reimbursable external funds;
- ✓ Identification and analysis of opportunities for the application and submission of funding applications for projects, respectively submission of funding applications for projects with funding from non-reimbursable external sources;
- ✓ Maintaining relations with institutional partners with which there are ongoing projects (e.g., Transparency International Romania, General Anticorruption Directorate, etc.).
- ✓ Monitoring the implementation of projects carried out at ANI's level.

In February 2022, was started the implementation of the project "NIAAct – Updating integrity legislation and providing support to authorities and depositors in the transition to digital declaration of assets and interest" code SIPOCA 1158, co-financed by the European Social Fund, through the POCA 2014 – 2020, and the application for funding was submitted in October 2021. The general objective of the project is to inventory all the normative acts and update the legal framework in the field of integrity, covering incompatibilities, conflict of interest and unjustified assets, as well as the system of declaration of assets and interest, based on the needs of stakeholders, substantiated by analyses and sociological research. Thus, in the year 2022, the most important progress achieved in the project was:

- ✓ Running two editions of the "Integrity Think Tank", a network of experts specialised in integrity issues in Romania (5th October and 13th December 2022)

- ✓ Organization of two training sessions in Bucharest for 41 persons responsible for the implementation of the provisions of Law 176/2010 (12-13 December and 15-16 December 2022)
- ✓ Continuation of the desk research on the legal framework for integrity in Romania, to be completed in early 2023, according to the agreed timetable.

In consideration of ANI's specific activity and financing needs identified at Agency level, in 2022, ISFSSD team monitored and identified funding opportunities for which funding applications could be submitted and carried out the activity of permanent monitoring of specialized websites ex: <http://poca.ro>, <https://www.fdsc.r/active-citizens-fund>, <https://ec.europa.eu>, <https://mfe.gov.ro/pnrr/> si <https://www.just.ro/pnrr/>

In 2022, the team's efforts were focused on submitting funding applications for the following projects:

- ✓ The project "qAID Towards contemporary knowledge and innovative tools for assessing and enhancing effectiveness of Asset and Interest Disclosure (AID) systems in EU Member States and Candidate States" under the Internal Security Fund – Police call (ISF-2022- TF1-AG-CORRUPT) through the European Commission platform managed by DG Home, submitted in August 2022, in which the Agency is partner of the Applicant University Degli Studi di Trento Italy;
- ✓ The project" iMonitor - Enhancing law enforcement efficiency by bringing together public procurement data analytics and civil monitors", project submitted in August 2022 by the National Integrity Agency under the Internal Security Fund-Police call (ISF-2022 –TF1– AF-CORRUPT) (ISFP) through the European Commission platform managed by DG Home, submitted, as Partner of the Applicant DTI Government Transparency Institute Ltd Hungarian;
- ✓ The project" Supporting implementation of the integrity and anti-corruption framework in Romania" under the call DG REGORM – TECHNICAL SUPPORT INSTRUMENT (TSI) PROGRAMME Regulation (EU) 2021/240 (TSI Regulation), submitted in September 2022, as Applicant, in partnership with the Ministry of Justice.

During 2022, the efforts of the ISFSSD team were also focused on strengthening institutional cooperation with different public authorities in order to develop the National Recovery and Resilience Plan. Under this project ANI has been appointed as coordinator of several reforms and / or investments and will also have the quality of Beneficiary for three other projects that correspond to Pillar II - Digital Transformation, from Component 7 - Digital Transformation. These 3 projects' objectives are developing the PREVENT system, developing Agency's technical capabilities to take over and process assets and interests declarations in digital format, as well as designing a digital awareness and prevention platform for the legal integrity framework, respectively:

- ✓ The project "Development of ANI technical capabilities to retrieve and process declarations of interest and assets exclusively in digital format of qualified electronic signatures (cf. European eIDAS 910/2014)" call PNRR/2022/C.7/I.4.1, PNRR/2022/C.14.I.1/1, PNRR/2022/C.14/I.2/1, through the Ministry of Justice, with the Agency as Applicant, submitted in September 2022
- ✓ The project "Development of the PREVENT system to increase the interoperability of public institutions' electronic systems for ex-ante verifications of conflict of interest in the public procurement process" call PNRR/2022/C.7/I.4/1, PNRR/2022/C.14/I.1/1, PNRR/2022/C.14/I.2/1, through the Ministry of Justice, Agency as Applicant, submitted in September 2022;

- ✓ The project "Design of a digital awareness and prevention platform through which relevant stakeholders will be able to clarify, on their own, certain obligations regarding the integrity framework that they have to comply with", call PNRR/2022/C.7/I.4/1, PNRR/2022/C.14/I.1/1, PNRR/2022/C.14/I.2/1 through the Ministry of Justice, Agency as Applicant, submitted in September 2022.

In 2022, the project "EMOD - Development of the institutional capacity of the National Integration Agency to streamline internal workflows and how to submit declarations of assets and interests in the electoral and annual process" SMIS 129864, Priority Axis 1 Efficient public administration, and judicial system, was successfully implemented, and within the project an IT platform was developed to streamline the work of integrity inspectors.

The benefits of the EMOD project are as follows:

- ✓ Simplifying the process of completing and submitting assets and interests declaration electronically (historical access, remote transmission, dedicated mobile applications, documents can be accessed from phone, tablet);
- ✓ Easier to use forms (pre-completion, automation);
- ✓ Reducing the time for submitting declarations of assets and interests at ANI;
- ✓ Increased security (ensuring data and information protection);
- ✓ Transparency and public accountability (reducing publication times, meeting deadlines);
- ✓ Increasing data quality (preventing errors made by asset and interests declarations depositors).

ISFSSD team also provided support to various national or international authorities, in submitting projects as the Agency expressed willingness to provide experts necessary for project implementation.

In addition to department's specific management tasks, the head of department was involved in several activities, as follows:

- ✓ Ensuring the technical secretariat within the Monitoring Commission of the Internal Management Control System. at Agency level;
- ✓ Reporting to the Ministry of Foreign Affairs, as part of the European Semester;
- ✓ Monitoring and implementation of action measures provided in the National Anticorruption Strategy, included in Agency's Short-Term Strategy.

At the level of year 2022, as a result of the verifications performed on the activity performed by the Implementation of Structural Funds, Studies and Strategies Department, we did not identify observations.

Follow up on the remediation of the findings identified as part of audit engagements performed period prior to year 2022:

The following deficiency **was not remedied**:

- *The workload load for ISFSSD team is high and is determined by the considerable volume of activity performed by only two hired employees; at the end of 2021, out of the total of 9 positions approved for this structure, 7 are vacant.*

During 2022 there were no changes in the number of job positions filled, so that of the 9 vacant positions only 2 positions are filled at the end of 2022.

5.4 Information Technology, Procurement, Investment and Logistics General Directorate (ITPILGD)

5.4.1 Information Technology Department (ITD)

IT system evaluation

The National Integrity Agency has implemented an Information Security Management System (ISMS) which provides better management controls over information flows within the Agency and enables the unitary management of IT security issues, through active control over resources and internal processes.

The procedures performed on Agency's IT environment comprised of assessing the control environment as far as IT processes and IT systems supporting these processes. The assessment aimed to determine how the IT system meets all requirements so that the Agency is able to fulfil its specific tasks.

During the systems verification process, aspects such as the evaluation of the adequacy and operational effectiveness of general IT system controls were included, as well as of specific controls ensuring information security.

Testing procedures performed also included verifications on the general internal control framework of the information systems, as well as on policies and procedures implemented by the National Integrity Agency.

We performed testing of the integrated management information system for assets and interests' declarations (SIMIDAI) as well as testing of PREVENT, SEAL, SAP ERP, INDSOFT and DMS systems. The verifications focused on systems functionalities, data recovery process and related risks and aimed to determine how these systems respond to the requirements derived from those specific tasks ANI has to meet.

The activities conducted covered the following areas:

- ✓ Information security policies;
- ✓ IT resource management;
- ✓ Access control;
- ✓ Physical and environmental security;
- ✓ Security of operations;
- ✓ Communications security;
- ✓ The process of managing changes regarding computer systems;
- ✓ Managing relationships with suppliers;
- ✓ Information security incident management;
- ✓ Business continuity management and disaster recovery.

This report presents factual findings resulting from the verifications performed on ANI's IT environment and is based on:

- ✓ Interviews performed with ITD staff
- ✓ ISMS policies and procedures, documentation and information received from IT Department staff
- ✓ Analysis of the activities performed by the Information Technology Department;
- ✓ Visiting and verifying the physical location where the hardware equipment is installed and on which the Agency's software applications and infrastructure operates.

Following the verifications performed related to the 2022 activity, we identified the following **observation**:

➤ *Outdated policies and procedures*

Policies and procedures are defined at Agency level regarding the security of information systems. However, the set of policies and procedures has not been reviewed during 2022. The lack of revision of Security policies and procedures may lead to a situation where they no longer meet the Agency's security requirements.

Follow-up on the extent to which the findings identified in the engagements prior to year 2022 were addressed:

The following deficiencies were **remedied**:

- *Access rights management - the review of user account rights defined in the Agency's applications was not performed consistently in accordance with the Operational Procedure for User Account Management.*

During 2022, if an employee leaves the organisation, following tickets received from the Head of Service or Human Resources, ITD deactivates the user account in the IT system. For applications that are not integrated with AD, Jurisprudence and SICO, user administration is carried out by the application developers who are notified by the end-users/application owners about the deletion or creation of a user account. The Agency has also conducted the user review process for Active Directory users and applications for all user types. Traceability of the user review process was ensured through the use of the BMC Footprints ticketing application.

- *Generic user accounts - due to operational needs, a number of generic accounts have been created for accessing IT applications such as SAP ERP, SIMIDAI, Prevent, DMS, Active Directory. These generic accounts are accepted by the management of the Information Technology Department, however no document dating from this period has been formally approved in order to justify the need for the use of such accounts.*

During 2022, we found generic accounts at the Active Directory level. For all these generic accounts, details of their purpose have been developed. Furthermore, the Agency conducted the review of these generic accounts during 2022.

- *Change management - a change management procedure has been defined at Agency level, covering the essential stages of the life cycle of a change, including minimum quality / safety requirements, testing, production approvals from the application manager, etc. During the years prior to 2021, this procedure has not been applied consistently. There were situations where, for changes performed on the Agency's applications, standard forms indicated in the procedure have not been prepared.*

In the period prior to 2022, a change management procedure was defined at Agency level, which covers the key steps in the life cycle of a change including minimum quality/security requirements, testing, go-live approvals from application managers, etc. The Agency has implemented an IT Service Management tool (BMC Footprints) which is used in the change management process and change requests have been prepared for changes to IT systems and services according to the Change Management Operating Procedure. During 2022, no change requests (CRs) were registered.

- *Privileged accounts management - A number of users with administrator rights have been defined at the Agency for applications administration. However, following our verifications, we have been unable to identify a formally approved list nominating those persons who were assigned rights for administration.*

During 2022, privileged accounts were reviewed as part of the user review done at the Active Directory and application level for the purpose. Furthermore, Privileged Access Management (PAM) at the service provider level is being implemented through an identity security solution that helps protect against cyber threats by monitoring, detecting and preventing unauthorized privileged access to critical resources.

The following deficiencies were **partially remedied**:

- *Business Continuity and Disaster Recovery - ANI has not implemented a Business Continuity Plan in case of Disasters. The Agency does not have a secondary location that can be used for the recovery of operations and IT systems, as well as for continuation of activities, should the head office location become unavailable.*

During 2022, the Agency has defined a ITPILGD business continuity plan for 2022 covering all services activities within the Directorate. This plan identifies the situation that generate discontinuity of activity and defines the necessary activities and actions, as well as preventive measures to ensure continuity of activity and those responsible for implementing these measures. Regarding disaster recovery, the Agency has carried out an assessment to identify all the resources needed for the disaster recovery plan. Thus, the recovery strategy will be aligned with the objectives and implementation programme of the national project on the implementation of the Government Cloud through funding in the National Recovery and Resilience Plan (NRRP) over a period of 3 years from 2023. However, the Disaster Recovery Plan (DRP) is not fully operational until the national "Government Cloud" project is completed.

- *Backup monitoring - For the SAP system used within the Agency prior to 2020 we noted that the backup system was not configured to send alerts in case of errors in the backup process.*

During 2022, the backup process was carried out similarly as in previous years by copying to external hard drives. In addition, the Agency has started implementing backup tools that will automatically check the integrity of the data and send notifications. However, no specialized software was used for backups during 2022 and no effective monitoring process was involved to generate alerts in case of errors.

- *Relationship with providers - The Agency has managed, through Information Technology Department, contracts with IT related service providers for which suspension periods have been identified. According to discussions with Information Technology Department staff members, this situation was due to delays in approving the budget for the new year.*

During 2022, the Agency had IT services, assistance, technical support and maintenance contracts with vendors to maintain the Agency's systems and applications. However, we identified that during the year 2022 there were periods of discontinuity on some IT services, assistance, and maintenance contracts.

- *Security Incident Management - Security alerts were identified in the ticketing application which were not included in the ISMS incident category as required by the ISMS procedure on "IT Event Management".*

During 2022, the Agency maintained a centralized incident of operational and security incidents within the BMC Footprints ticketing application. In the case of security incidents, they are investigated by the Agency and a report is produced containing information such as: description of the incident, actions taken to remediate the incident, impact of the incident on the Agency's business, and preventive measures identified to avoid similar incidents in the future.

During 2022, the Agency decided to implement a new ticketing application for the following year to ensure better functionality. However, the Agency has decided not to implement a SIEM system in 2022, in view of the Security Strategy 2022 – 2025 and the security projects documents in the "Security Masterplan". It has been planned for 2023 and will be implemented with condition that there is sufficient budget and no other priority projects intervene.

The following deficiencies **were not remedied**:

For the following observations categorized as "not remedied" at the end of 2021, no progress has been identified during 2022, so as to change their classification:

- *DMS system administration - Responsibilities related the management, support and maintenance of DMS systems are not clearly defined as part of IT Department tasks. Furthermore, there is no contract with an external service provider covering DMS system administration, support and maintenance.*

In 2022, the DMS system is in the end-of-life phase, therefore it no longer receives technical support. Furthermore, the application has not been decommissioned in previous years, with plans for decommissioning and replacement repeatedly postponed, currently planned for 2023.

- *There is no consistent backup process for critical applications.*

We noted that, prior to 2022, the backup process was not performed consistently for all systems and applications used in the Agency. Thus, due to lack of dedicated equipment and necessary storage space, the backup process was not performed for critical applications of the Agency (e.g., SIMIDAI, Prevent, etc.).

During 2022, the Agency has decided that the Prevent application will be developed in the following years through the programmes carried out under the National Recovery and Resilience Plan (NRRP) and for SIMIDAI that data will be migrated to the new infrastructure during the following years.

- *Lack of fire extinguishing systems*

Before 2022, we observed that the server rooms within the Agency are equipped with UPS, redundant air conditioning systems, temperature sensors and smoke sensors. However, there are no automatic inert gas fire extinguishing systems installed. These systems are automatically triggered in the event of a fire hazard. During 2022, due to budgetary constraints, the recommended measures were not implemented.

➤ *Insufficient staff in the Information Technology Department*

Before 2022, we observed that, although there are eight positions in the Information Technology Department, only one person is employed, the rest are external staff.

General Registry and Archive Department

The General Registry and Archives Department (hereinafter "GRAD") reports to the General Manager of Information Technology, Procurement, Investment and Logistics General Directorate. The main activities of the GRAD are the registry activity and the archive activity. The main attributions of GRAD are established by the Organization and Functioning Regulation of ANI, as well as by the System procedure regarding Agency's Archive and document management (SP 06 / SCM / ANI) and by operational procedures describing specific flows for this Department.

The general registry ensures the receipt of all correspondence addressed to the Agency, as well as the transmission of Agency's correspondence, at the request of the President and / or Vice-President of the Agency.

The activity of archiving the documents is carried out by a person with appropriate qualification, appointed by Order of the Vice President no. 4572 of March 10, 2020. The activity of archival processing, scanning, conversion, indexing and storage for all declarations of assets and interests, as well as for files settled or dismissed by integrity inspectors, is performed based on service contracts with specialized service providers.

The archival records plan for all documents of the National Integrity Agency has been approved by the National Archives by Statement ANB-11423-U of 12 December 2016.

Regarding the archiving activity, we randomly selected a sample of 10 archiving requests for which we verified whether procedural provisions regarding the submission or removal from the archive of the documents were properly observed.

Following the analysis of the activity for the year 2022, no new observations were noted with regard to the activity carried out in the General Registry and Archives Department.

Follow-up on the extent to which the findings identified in the engagements prior to year 2022 were addressed:

The following deficiency was **remedied**:

➤ *The files belonging to auxiliary activities were not physically or electronically archived.*

Following the launch of the e-DAI online platform, through which persons who have the obligation to declare their assets and interest fill in and submit their asset and interest declarations, in digital format, and they are archived electronically. During 2022, there was also

remarkable progress in relation to archiving activity at the level of the other ANI structures. According to delivery-receipt minutes concluded during 2022 between ANI and the archiving service provider, documents were taken over from several ANI structures, namely from the Directorate General for Legal Affairs, Public Relations and Communication, the Human Resource Service and the Economic Service.

5.4.2 Procurement, Investments and Administrative Department (PIAD)

Procurement, Investments and Logistics Bureau (PILB)

During our external audit engagement, we have analysed the organization and development of internal processes at Agency level in the area of public procurement.

The Bureau's activity is standardized and is carried out in accordance with specific operational procedures which have been developed based on Law no. 98/2016 on public procurement, by Decision no. 395/2016 approving the Methodological Norms for applying the provisions when awarding the public procurement contract / framework agreement of Law no. 98/2016 and by Law no. 101/2016 on remedies and remedies in matters of public procurement, sectoral contractor and works concession contractor and service concessions, as well as for the organization and the functioning of the National Council for Solving Contestations.

After examining of the List of public procurement procedures carried out during 2022, which includes 113 entries, we have randomly selected a sample of 12 procurement procedures, as follows:

- ✓ 10 direct purchases,
- ✓ 1 acquisitions by simplified procedure,
- ✓ 1 acquisitions through open tender procedure,

We have analysed the extent to which basic principles set out by the current internal regulatory framework ensure the use of transparency and competition as means of obtaining fair and reasonable prices for all public procurement procedures initiated by the Agency.

Therefore, we analysed the extent to which the public procurement rules and procedures are effective and meet the following minimum criteria:

- a. compliance with the **principle of competitiveness** between parties making the offer in order to obtain the most economically advantageous offer;
- b. ensure compliance with the **principle of transparency** by properly publishing information on the procurement procedure, from the moment of purchase announcement, during the undergoing procurement procedures and even after the contract has been awarded;
- c. ensure compliance with **the principles of equal treatment, proportionality and non-discrimination**;
- d. prevention of possible **conflicts of interest** during the entire procurement procedure.

Based on our interview with the ITPILGD/PIAD-PILB representatives, our analysis of the procedural framework and on the testing performed on the selected files in our sample, the following aspects were observed:

- ✓ the internal procedural framework is organized hierarchically and is applied to all public procurement procedures carried out;
- ✓ the public procurement system ensures an adequate degree of transparency throughout the entire public procurement process, from the advertisement / intention / participation announcement, evaluation of offers, contract awarding and settlement of appeals, so as to promote fair and equitable treatment of tenderers, namely potential suppliers and contractors;
- ✓ the public procurement system includes provisions on equal access for all potential tenderers, as well as measures to ensure that there are no restrictions for certain candidates (technical, administrative - selection, exclusion and awarding criteria - and in terms of timing and deadlines);
- ✓ the public procurement system provides specific rules in terms of communicating with potential tenderers in the same time frame and in the same way, and particularly in terms of ensuring that answers to clarification questions are provided promptly and that the information is passed on to all stakeholders;
- ✓ the procurement system provides specific rules in terms of protecting the security and confidentiality of all the information submitted, in particular by: all necessary measures for ensuring the security and safe storage of tender documents (eg keeping a register of documents, numbering all documents or having a central storage space of all documents), as well as measures for restricting access to documents;
- ✓ the public procurement system provides clear and objective criteria for the evaluation of tenderer's economic and financial capacity, as well as for the assessment of their technical and professional capacity;
- ✓ the public procurement system provides specific rules on informing tenderers (winners and non-winners) and the general public about the outcome of the procurement process;
- ✓ the public procurement system provides specific rules on how to manage appeals to awarding procedures.

In conclusion, for year 2022 after analysing the procedural framework and the degree of compliance in relation to it, based on the selected sample, we did not identify any deficiencies:

Follow-up on the extent to which the findings identified in the engagements prior to year 2022 were addressed:

The following deficiencies were **partially remedied**:

- *The need to utilise types of public procurement procedures that were not procedurally framed, at that time, more precisely one acquisition by negotiation procedure without prior announcement publication and one acquisition through the competitive negotiation procedure based on GEO no. 114/2011 regarding the award of certain public procurement contracts in the fields of defence and security.*

In 2021, the procedures for the procurement of products/services/works by negotiated procedure without prior publication of a contract notice and the procurement of products/services/works by competitive negotiation under GEO 114/2011, were developed in a preliminary version (draft). However, these procedures were not finalized and approved in 2022. According to the discussions with the representatives of S.A.I.A. – B.A.I.L. the two procedures are in progress at the date of the audit because, with the legislative changes regarding the value thresholds in Law 98/2016, they required further amendments to be aligned with the legislative provisions and will be submitted for approval.

As part of the preliminary version of the Operational Procedure for the procurement of products/services/works by negotiated procedure without prior publication of a contract notice, the stage of verifying the eligibility of submitted bids against the award documentation has been documented, introducing a verification tool, namely an Evaluation Report signed by all members of the evaluation committee.

- *The analysis of the procedural framework revealed two material errors to which a low level of risk can be attributed, namely:*
 - ✓ *The numbering of operational procedure OP 10 / S.A.I.A. – B.A.I.L. "Records and keeping copies of public procurement contracts" does not follow the numbering of applicable operational procedures, the correct numbering being OP 7 / S.A.I.A. - B.A.I.L.;*
 - ✓ *OP 01 / S.A.I.A. - B.A.I.L. - Procurement through "simplified procedure" of products / services / works - provides, at art. 12 (Rules / Constraints), the obligation to use the Necessity Report format presented in OP 03 / S.A.I.A. - B.A.I.L. regarding the purchase of products / works / services. The form referred to was identified in annex to another operational procedure, OP 02 / S.A.I.A. - B.A.I.L. - Procurement through "Direct Purchase" of products / works / services.*

Following our discussions with the head of the P.I.A.D.- P.I.L.B., during 2021, all specific procedures were revised in accordance with SGG Order no. 600/2018, however such procedures are in preliminary form (draft) at the date of the audit.

Among the changes performed in these revised operational procedures, in 2021, we mention the following:

- ✓ *The Operational Procedure "Records and keeping copies of public procurement contracts" (PO 10/S.A.I.A. – B.A.I.L.) was renumbered correctly, changing from PO 10/S.A.I.A. – B.A.I.L. to PO 07/S.A.I.A.– B.A.I.L.;*
 - ✓ *In PO 01/ S.A.I.A. - B.A.I.L. "Procurement through "simplified procedure" of products / services / works", a new provision has been included regarding utilization of the Necessity Report form presented in PO 02/ S.A.I.A. - B.A.I.L. and the reference, erroneously mentioned before, to PO 03/ S.A.I.A. - B.A.I.L, has been eliminated.*
- All S.A.I.A. – B.A.I.L. specific procedures, at the time of the audit, were made available in a preliminary version, given that at the end of 2022, there were changes to the value thresholds in Law 98/2016 on public procurement, and these required further updating.

- *The internal procedural framework is not correlated with the operational flow used in practice at the level of the Procurement, Investment and Administrative Department through the Procurement, Investment and Logistics Bureau.*

Following the discussion with the Head of Services S.A.I.A. – B.A.I.L., during 2022 all specific S.A.I.A.-B.A.I.L. operational procedures needed to be revised as there were legislative changes regarding the value thresholds, and the procedures were available to the auditor in preliminary form (draft). The procedures have been drafted in accordance with the template provided by OSGG No. 600.2018.

Modifications have been made also, in order to reflect the activity performed in practice, as follows:

- ✓ A new provision, regarding utilization of a Necessity Report template presented in Annex to the procedure regulating direct purchases, the annex being used for all types of procurement and adapted according to the specifics of each type of procedure;
- ✓ The provision regarding the compulsory documentation of the verification of eligibility criteria by filling in separate Evaluation Forms by each of the members appointed in the Evaluation Committee has been eliminated; a new procedural step has been included, providing for the utilization of an Evaluation Report, in accordance with the practical activity carried out at Agency level.

Deadlines are being used as an instrument for monitoring and streamlining procurement procedures and, even though such deadlines are not provided by legal provisions applicable to public procurement and do not impact the public procurement process, it is recommended that all persons involved in the process have deadlines set for their tasks, regardless of the process.

Administrative Department

The Administrative Department represents the structure responsible for the administration of the car fleet and the administrative spaces of the Agency. The activity of the department is carried out, according to the Regulation of Organization and Functioning of the Agency, as follows:

- Maintenance, operation and repair of the vehicles in the fleet, as well as the repair of the vehicles in the fleet, and the application of the legal provisions in force governing the activity of motor transport;
- Drawing up the journey sheets for each vehicle in the Agency's fleet;
- Submitting requests for the supply of car tires, car batteries, car accessories, as well as for maintenance and repair operations necessary for the proper functioning of the vehicles;
- Notification, in good time, of the expiry dates of insurance policies, bonds and CASCO, for all cars in the fleet, with a view to their renewal;
- Ensuring the cleanliness and appearance of the institution's vehicles and clearing all obstacles, including snow, the car park and access roads to the institution's yard;
- Being responsible for the proper operation of the vehicles and keeping them in perfect working order;
- Ensuring the cleanliness of the Agency's administrative headquarters and premises by complying with hygiene and sanitation rules;
- Cleaning the administrative premises in appropriate conditions;
- Keeping, in good condition, the cleaning materials assigned to him/her, in order to clean the administrative premises;
- The selective collection of waste within the Agency, the transport of garbage and residues of any kind of the established circuit, in appropriate conditions and the responsibility for their correct deposit in bags/containers/eurobins

In 2022, no observations were identified with regard to the work carried out at the level of the Procurement, Investment and Administrative Service, through the Administrative Compartment.

5.5 Public Internal Audit Department

The internal audit activity is covered within the National Integrity Agency by the Public Internal Audit Department (hereinafter "PIAD"), operating under the direct subordination of the Agency's President.

Considering the attributions of PIAD, established by the Regulation of organization and functioning of the National Integrity Agency and by the "Methodological Norms regarding the Exertion of the Internal Public Audit Activity within ANI", we proceeded to analyse the conformity of the actual activity carried out within PIAD. The analysis also aimed to determine PIAD's conformity with the operational procedures for year 2022 based on applicable legislation.

The department's activity is standardized and based on specific operating procedures developed in accordance with the Order No. 600/2018 regarding the Internal/Managerial Control Code for public entities.

We organized interviews with the PIAD coordinator and evaluated, through detailed testing, the flow of documents and the processes carried out within the department, as follows:

- ✓ The preparation of the Annual Internal Public Audit Plan, for 2022, registered under no. 23735/26.11.2021;
- ✓ The Preparation of the Multiannual Internal Public Audit Plan, for the period 2022 - 2024, registered under no. CAPI 23603/25.11.2021;
- ✓ The Preparation of the Quality Assurance and Improvement Program no. CAPI 26420/30.12.2021;
- ✓ The Elaboration of the Annual Internal Public Audit Activity Report for the year 2022, registered under no. CAPI3977/10.02.2023 and submitted to UCAPPI by address no. 40233/15.02.2023;
- ✓ Performing the internal audit engagements;
- ✓ Assessment of the individual professional performance;
- ✓ The continuous education training of internal auditors

During 2022, PAID carried out 6 internal audit missions, of which 3 follow-up missions regarding the implementation of audit recommendations, 1 system audit mission and 2 performance audit missions.

In order to evaluate the managerial actions within the Public Internal Audit Department, we selected from the "Annual Public Audit Plan for 2022" two audit engagements, one follow-up mission regarding implementation of recommendations resulted from the internal audit mission "*Evaluation of the work carried out in the Directorate General for Legal Affairs*" and one performance audit mission regarding "*Performance of internal control in the work of Integrity Inspection*".

In this respect, we obtained and assessed the documentation applicable for each process regarding the following criteria: frequency, compliance with the legal provisions, authorization, and compliance with the legal terms, relevance and completeness of the data.

Regarding the activity performed by the Internal Public Audit Department during year 2022, and based on the evaluation of the operating procedures and the methodology applied, we have not identified any deficiencies.

Follow-up on the extent to which the findings identified in the engagements prior to year 2022 were addressed:

The following deficiencies **were partially remedied:**

- *According to the "Methodological norms regarding the internal public audit activity within ANI" and the procedure "Evaluation of the individual professional performances" auditors must attend at least 15 days of professional training per year. In 2019, the internal auditors did not participate in any professional training courses.*

In 2021, internal auditors did not attend any training programs because of the context generated by the COVID-19 pandemic.

In 2022, the internal auditors of PAID participated in professional training courses, in accordance with the Annual Training Plan, one of the auditors completing a number of 31 days of professional training courses and the other auditor completing a number of 9 days of professional training in 2022.

The following observation **has been removed due to inapplicability**:

- *Certifying internal auditors*

Given that the procedure for the attestation of internal auditors in public entities could not be applied, as presented in the explanatory memorandum of Ordinance No. 29/2022 amending and supplementing Law no. 672/2022 on internal public audit, as well as the new amendments to Law no. 672/2022, according to which the attestation requirement is only for associative structures, the recommendation for the attestation of internal auditors within ANI is proposed to be deleted due to inapplicability.

According to Article 21 paragraph 7 of the Law no. 672/2022 on Internal Public Audit, as amended by Ordinance No. 29/2022, internal auditors are required to improve their knowledge, skills and values in continuing professional development, which is achieved by:

- a) Participation, with the consent of the head of the public entity, in courses and seminars on topics specific to the field of the internal public audit competence framework or the field of the public entity;
- b) Individual studies on subjects approved by the head of internal public audit department;
- c) Preparation and publication of specialist material.

5.6 Economic Department

The economic activity within ANI is covered by the Economic Department (hereinafter "ED") and specific SE attributions are established by the Organization and Functioning Regulation of ANI which complete the legislative provisions with impact on the activity of the department and its personnel. The activity of the ED is coordinated by the Agency's General Secretary and the management of the department is provided by a head of department and a head of bureau. From an organizational point of view, depending on specific activities, ED is organized on 2 structures, respectively:

- ✓ Financial Bureau
- ✓ Accounting Department

The Economic Department activity is standardized and operates on the basis of specific operational procedures developed in accordance with the provisions of Order no. 600/2018 for the approval of the Code of Internal / Managerial Control of Public Entities.

We have analysed and assessed the level of compliance with the operational and system procedures in force during year 2022 with ROF and applicable laws. Also, we have analysed specific DE processes via detailed testing and we have conducted interviews with department representatives in order to draw conclusions on the conformity of the actual activities performed in practice with approved norms and procedures.

5.6.1 Financial Office

We analyzed the attributions of the Financial Bureau in accordance with the Organization and Functioning Regulation (ORF) and applicable operational procedures and tested compliance of the operational procedures applicable in 2022 with ORF and applicable legislation.

The processes carried out within the Financial Office for which detailed tests were performed are the following:

- ✓ Elaboration of the expense budget project for 2022;
- ✓ Elaboration of the Public investment program for 2022;
- ✓ The process of establishing necessary financing (credits) for 2022;
- ✓ Communication and implementation of budget rectifications and transfers within the approved budgetary lines;
- ✓ Internal preventive financial control at Financial Bureau level;
- ✓ Expense commitment, liquidation, authorization and payment processes;
- ✓ Monitoring personnel expenses;
- ✓ Cash operations in lei and foreign currency, in compliance with the Regulation for cash operations.

We have obtained and evaluated the documentation applicable to each process in terms of periodicity, compliance with legal provisions, authorization, compliance with legal deadlines and the treatment of errors.

We have obtained and analyzed the following documents:

- ✓ Framework Letter of the Ministry of Finance no. 462147 / 15.01.2021 on the macroeconomic context, the methodology for drafting the budget projects for 2022 as well as estimates for 2023-2025;
- ✓ Instructions of the Ministry of Finance no. 462082 / 15.01.2021 regarding expenditure limits established for the principal authorizing officers;
- ✓ Internal administrative orders, issued by Agency's management, regarding the appointment of the persons responsible for the expense commitment, liquidation, authorization and payment processes;
- ✓ Agency's Vice President Order no. 21062 / 30.12.2020 regarding the organizing and exercising its own preventive financial control system at Agency level;
- ✓ The register of operations submitted for preventive financial control authorization in 2022 for Quarter I, II, III, IV and we tested, by sample, the conformity of registered operations;
- ✓ Cash register in RON and foreign currency for November 2022 - we verified the compliance of the document circuit with the legal provisions, as well as applicable operational procedure regarding the payments performed by the cashier;
- ✓ The report regarding Monitoring personnel expenses financed from the state budget, submitted to the Ministry of Public Finance during the year 2022, for the months of May

and September 2022 - we verified compliance with the provisions of the operational procedure (OP - SE -12).

Following our verifications, we have not identified any deficiencies regarding the activity of the Financial Bureau, during year 2022.

5.6.2 Accounting Compartment

We analyzed the attributions of the Accounting Compartment in accordance with the Organization and Functioning Regulation (ORF) and applicable operational procedures and tested compliance of the operational procedures applicable in 2022 with ORF and applicable legislation.

The processes carried out by the Accounting Compartment for which detailed tests were performed are the following:

- ✓ Internal preventive financial control at Compartment level;
- ✓ Preparation of yearly financial statements;
- ✓ The process of assets inventory, based on a sample.

For this purpose, we have obtained and evaluated the documentation applicable to each process in terms of periodicity, compliance with legal provisions, authorization, compliance with legal deadlines and how errors are addressed.

Following our verifications, we have not identified any deficiencies regarding the activity of the accounting compartment during year 2022.

Follow-up on the extent to which the findings identified in the engagements prior to year 2022 were addressed:

The following deficiencies **were remedied:**

- *Economic Department employees did not attend any professional training courses over the past 2 years. This requirement is specified by art. 458 para (2) of the Administrative Code.*

In 2022, the employees of the Economic Service participated in training courses, so that on 25-27.10.2022, 3 employees of the Financial Office participated in the course "Preventive financial control – financial management control", and on 10-13.11.2022, 2 employees of the Accounting Department participated in the course "Accounting, finance and preventive financial control", where the organizer was OK Service Corporation SRL.

- *Workload for employees of the Accounting Compartment is high, considering activity volume and the fact that only 3 positions are occupied, out of the total of 5 positions approved as part of the organizational chart, the other 2 positions being vacant at the end of 2021.*

The occupancy rate in the Accounting Department at the end of 2022 is 75%, respectively of the 4 posts approved at department level, 3 posts are occupied and 1 post is vacant. In 2022, although a competition was organised to fill a vacancy for an Advisory, senior professional grade in the Economic Service, Accounting Department, following the competition, the post remained unfilled.

5.7 Human Resources Department

The human resources activity is provided within the National Integrity Agency by the Human Resources Department (hereinafter referred to as "HRD"). According to the organizational chart, there are 10 positions in HRD, out of which, on 31.12.2022, only 3 positions were occupied, having an occupancy rate of 30%. One of the occupied positions is for the role of head of HRD, also covering occupational health and safety attributions. From an organizational point of view, HRD is organized in 2 structures with different responsibilities, as follows:

- ✓ Human Resources Office
- ✓ Labor Protection Compartment

The activity of the Human Resources Department is standardized and operates on the basis of specific operational procedures² developed in accordance with the provisions of Government Decision no. 611/2008 for the approval of the norms regarding the organization and development of the civil service career, with subsequent modifications and completions, Government Emergency Ordinance no. 57/2019 on the Administrative Code, with subsequent amendments and completions, Government General Secretary Order no. 600/2018 for the approval of the Code of internal / managerial control at public entities and other specific regulations.

5.7.1 Human Resources Office

We analysed the responsibilities of the Human Resources Office (hereinafter "HRO") within the Agency, in accordance with ROF provisions and the operating procedures that document HRO activity. Our analysis was also focused on the conformity of the valid operating procedures during 2022 with provisions of ROF and applicable legislation.

We organized a series of interviews with the head of HRO and we evaluated by applying tests of detail, the following flows of documents and processes carried out by this department:

- ✓ management of the HR personal files, for both public servants and contractual personnel;
- ✓ organization of contests for employment and promotion within ANI;
- ✓ compliance with legal provisions regarding submitting assets and interests declarations by Agency personnel;
- ✓ preparation, certification and the circuit of the timesheets, including inventory of the paid, medical and unpaid leaves, overtime approval process etc.;
- ✓ continuing professional training process– The professional training program for 2022 and the evaluation of the professional training activities;
- ✓ confirmation of the permanent positions for debutant personnel during 2022;
- ✓ performance evaluation for Agency's personnel;
- ✓ elaboration of the Plan for the occupation of public positions for the year 2022;
- ✓ modification / termination of the labor contract / transfer;
- ✓ monitoring compliance with Codes of conduct by Agency employees;

² 31 operational procedures

- ✓ Disciplinary Commission Activity at Agency level;
- ✓ preparation and approval of Agency Organizational Chart;
- ✓ preparation and updating job descriptions;
- ✓ payroll and payroll related activities;
- ✓ elaboration and modification of the Regulation on the organization and functioning of the National Integrity Agency;
- ✓ Ethical counseling activity, until the date of the takeover of this activity by a person from the Legal Directorate.

We have used two methods of testing, based on the nature of the assessed activity:

- ✓ Test an operation(process) from initiation to completion;
- ✓ Stratify the population and test for each segment an operation from initiation to finalization.

To conduct the tests on the activity of the HRO, we have requested on a sample basis the documentation for the following selections:

- ✓ From the "List of hiring testing organized by ANI in 2022", we selected 2 hiring testing session out of the 8 organized in 2022, for the occupation of a public servant/contractual position;
- ✓ From the "Contractual personnel of ANI in 2022", we selected 5 professional files out of the total of 15 contractual personnel positions;
- ✓ From the situation of debutant positions in 2022, we selected 1 file from the 2 positions becoming permanent in 2022;
- ✓ From the "List of terminated labor contracts", we selected 2 files out of the total of 11 files for labor contract termination;
- ✓ From the "Situation regarding the records of civil servants", we selected 10 professional files out of the total 78 civil servants professional files, active in 2022;
- ✓ From the "List of new-comers in 2022", we selected 1 personnel files out of the total of 3;
- ✓ Timesheets for the month of May 2022 for the analysis of the preparation, approval and flow of collective attendance sheets (timesheets);
- ✓ 10 civil servants professional files for testing the process of evaluating professional performance in 2022 as well as 5 contractual personnel professional files.

We obtained and evaluated the applicable documentation to each process in terms of periodicity and compliance with legal and procedural provisions, authorization and subsequent steps, adherence to legal terms. We have also verified whether the information contained by applicable documentation is relevant and complete.

We also analysed the correlation between the attributions included in the job descriptions for HRO staff and Agency ROF.

Regarding the activity of the Disciplinary Commission, in 2022, according to the information provided by the Head of HRO, documents regarding the activity of the Disciplinary Commission were submitted, respectively documents showing findings relating to two disciplinary offences. As a result of the investigation, sanctions were imposed, namely "reduction of salary rights by 15% for a period of 1 year" with "written reprimand".

With regards to the ethical counselling activity, it was taken over by a person from the Legal Directorate at the beginning of 2022. Thus, the procedure PO 31 SRU – “Monitoring of compliance with the rules of conduct by civil servants and contract staff from ANI” has ceased to have effect and the procedure developed at the level of the Legal Directorate will replace PO 31 SRU.

5.7.2 Labour Protection Department

The activity of the Labour Protection Department (hereinafter "LPD") is carried out at the level of the National Integrity Agency in accordance with the provisions of Law no. 319/2006, of the Government Decision 1425/2006, of the Government Decision no. 355/2007 and of the Government Decision 955/2010. In the context of the coronavirus pandemic (SARS Cov-2), the legislative framework was amended by Law no. 55/2020 and Order of the Minister of Labour and Labour Protection and of the Minister of Health no. 3577 / 831/2020.

In 2022, 211 regular trainings in the field of occupational safety and health were carried out and documented in the Occupational Health & Safety Personal Training Records for a number of 97 Agency employees.

In context of COVID-19 pandemic, the need to prevent the spread of infections caused by the SAR-CoV-2 virus and to ensure health and safety at work, determined the National Integration Agency to elaborate a series of administrative decisions, elaborated in 2021, the following administrative acts which remained in force for the year 2022:

- ✓ Regulation taking measures to prevent and control infections in National Integrity Agency, during the state of alert, in context of the epidemiological situation generated by the SARS-CoV-2 virus;
- ✓ Operational Procedure OP 44 / CPM - Measurement of body temperatures for all staff members, visitors and collaborators of the National Integration Agency;
- ✓ Operational Procedure OP 45 / CPM - Procedure to follow in case a National Integration Agency employee is suspected of/confirmed with COVID-19 infection (SARS CoV-2).

Based on the documentation obtained, we have selected a verification sample and performed detail tests on the selected sample. We have randomly selected 15 personnel files for which we verified the existence of the Occupational Health & Safety Personal Training Records as well as staff instructions periodicity, training sessions materials, staff members and instructor's signatures on the Occupational Health & Safety Personal Training Records. We have also verified the compliance with the provisions of the procedure " PO-SRU-31_CPM – Operational Procedure regarding the training activity in the field of safety and health at work ", including compliance with provisions regarding maximum time interval between two consecutive training sessions (six months).

At the Human Resources Department level, for the year 2022, by analysing the procedural framework and the degree of compliance with it, based on the selected samples, we note the following observation:

- *ANI's internal regulation, approved by Order 28/04.01.2008, does not include all the changes from the legislation concerning the general framework for the organization and functioning of public authorities, the status of their staff and other changes (e.g Administrative Code).*

Follow-up on the extent to which the findings identified in the engagements prior to year 2022 were addressed:

The following deficiency **was partially remedied**:

- *The occupancy rate within HRD is 30%. Starting with the second half of 2020 only 3 positions out of 10 positions presented in the organizational chart were occupied. HRD team is undersized in relation to the workload, taking into account the number of positions occupied at the time of the audit engagement.*

During 2022, the workload of the SRU staff, compared to the volume of work of the service remained high. It should be noted that during 2022 no job testing sessions were held in order to fill existing vacancies in the HRD, due to the provisions of Emergency Ordinance 80/16.06.2022. Therefore, it is recommended to accelerate efforts to fill the vacant positions at the level of the structure, in the immediate future.

5.8 The Activity of the Monitoring Commission for the Internal Management Control System

Within the National Integration Agency was established the Monitoring Commission for Internal Management Control System. The role of the Monitoring Commission is to ensure compliance with the provisions of Government General Secretary Order no. 600/2018 and it has the following responsibilities:

- ✓ to analyse and endorse the Program for the development of the managerial control system at Agency level;
- ✓ to submit the Program for the development of the managerial control system to Agency's management approval;
- ✓ to monitor the implementation of the Program and update the Program, whenever necessary;
- ✓ to monitor compliance with deadlines provided by the Program;
- ✓ to monitor and support Agency departments in their efforts of implementing the activities set-out as part of the Program;
- ✓ to receive Agency's department status reports regarding their progress in developing and implementing managerial control systems, through the Monitoring Commission secretary;
- ✓ to present, upon request, status reports regarding the development of managerial control systems at Agency level, to Agency's management; such reports may include actions undertaken with regards to monitoring and coordination of the process, methodological guidance, as well as settlement of various issues encountered;
- ✓ to analyze and prioritize significant risks that may affect the achievement of Agency's general objectives, by establishing the risk profile and the annual risk tolerance limit, which are approved by Agency's management;
- ✓ to analyze and submit for endorsement by the Chairman of the Monitoring Committee the Plan for the implementation of control measures related to significant risks identified at the level of the Agency; the Plan is then submitted for approval to Agency's management;
- ✓ to analyze the status report, elaborated by the secretary of the Monitoring Commission, based on the reports sent by Agency's departments, regarding the development of the risk management process;

- ✓ to prepare the draft Report regarding the stage of development and implementation of the internal managerial control system at Agency level, in order to be submitted to the Directorate for Internal Management and Interinstitutional Relations of Government General Secretary; the elaboration of this report includes preparing Annual centralized statements on the state of implementation and development of the internal management control system, as well as the Report on internal management control system at December 31st of the current year, until February 20 of the following year.

The membership and attributions of the Monitoring Commission of the Internal Management Control System have changed, by Order of the Vice President of ANI no. 3379 /22.02.2021. The changed attributions of the Monitoring Commission have been included in the updated version of the Regulation of Organization and Functioning of the Monitoring Commission of the Managerial Control System at Agency level, approved by Internal Note no. 20391 / 18.10.2021.

The Agency's Internal Managerial Control System development program for the year 2022, has been submitted for the approval of Agency's President, by the Address no. 4925/25.02.2022. The program approved by the Agency's management includes:

- ✓ the purpose for developing the internal managerial control system at ANI level;
- ✓ the scope of the Program for the development of the internal managerial control system of ANI;
- ✓ Agency's objectives as far as developing the internal managerial control system;
- ✓ proposed stages for development of the internal managerial control system at Agency level;
- ✓ algorithmic steps for running the Program.

The program for the development of Agency's internal management control system includes details regarding measures / actions established in order to achieve Agency's general objectives, the persons responsible for the implementation of such measures / actions, as well as relevant documentation and deadlines.

In order to evaluate the adequacy and effectiveness of the Commission for monitoring the internal management control system at Agency level we have analysed the following documents:

- ✓ the Program for the development of the managerial control system, for the year 2022;
- ✓ Monitoring Commission reports and decisions, as resulted from Commission's periodical meetings;
- ✓ Self-assessment questionnaires, regarding the stage of implementation of the managerial control standards, in accordance with the provisions of Government General Secretary Order no.600 / 2018, prepared by Agency's departments;
- ✓ Records of specific objectives and associated measures / actions, prepared by Agency's departments;
- ✓ Risk registers prepared by each of Agency's structures, as well as the updated Risk register at Agency level;
- ✓ The control measures implementation plan for 2022, developed at Agency level;
- ✓ Business continuity plans prepared by Agency's department for 2022;
- ✓ Operational and system procedures in force at Agency level;
- ✓ The sensitive roles registry at Agency level, for 2022 no. 4128/13.02.2023, as well as the Centralized list of sensitive roles at Agency level, registered under no. 4128/13.02.2023, elaborated based on lists provided by 1st level Agency's departments;

- ✓ The Report on the development of the internal managerial control system at 31.12.2022, submitted to Government General Secretary under Address no. 4491/15.02.2023.

In 2021, Agency's General Objectives have not been updated, recorded in the Evidence of specific objectives at the level of National Integrity Agency for the year 2021, registered under no. 20635/21.10.2021. Agency's general objectives were in line with the provisions of the Regulation on the Organization and Functioning of the National Integrity Agency (ROF), approved by the Order of the Agency's President no. 14.409/10.10.2019. The general objectives at ANI's level will be updated in 2023.

In addition, specific objectives derived from the Agency's general objectives have been updated in 2022, and have been approved by Internal Note no. 23374/19.09.2022 which has been prepared on the basis of the references included in the Records of Specific Objectives and Procedural Activities at the level of each of the compartments at the first management level of the Agency, as follows:

- ✓ Evidence of specific objectives and procedural activities at the level of the Integrity Inspection for the year 2022, no. 11796/13.05.2022, updated by Evidence of specific objectives and procedural activities at the level of Integrity Inspection for the year 2022 no. 23915/26.09.2022
- ✓ Evidence of Specific objectives and procedural activities at Economic Service level for the year 2022, no. 11266/09.05.2022;
- ✓ Evidence of specific objectives and procedural activities at ITPILGD level for 2022, no. 11658/12.05.2022;
- ✓ Evidence of specific objectives and procedural activities at HRD level for the year 2022, no. 11827/13.05.2022;
- ✓ Evidence of specific objectives and procedural activities at LPRCGD level for the year 2022, no. 11838/13.05.2022
- ✓ Evidence of specific objectives and procedural activities at the level of the Cabinet Office for the year 2022, no. 10166/28.04.2022
- ✓ Evidence of specific objectives and procedural activities at the level of the Internal Public Audit Department for the year 2022, no. 19399/04.08.2022, updated by the Internal Public Audit Department's Specific Objectives and Procedural Activities for 2022 No. 32814/28.12.2022

Business Continuity Plans have been prepared, in 2022, for each Agency structure, as follows:

- ✓ Integrity Inspection Business Continuity Plan for year 2022, registered under no. 11795/13.05.2022, updated by Integrity Inspection Business Continuity Plan for year 2022, no 23916/26.09.2022
- ✓ Economic Department Business Continuity Plan for year 2022, registered under no. 11267/09.05.2022
- ✓ ITPILGD Business Continuity Plan for year 2022, registered under no. 11659/12.05.2022
- ✓ HRD Business Continuity Plan for year 2022, registered under no. 118701/13.05.2022
- ✓ LPRCGD Continuity Plan for year 2022, registered under no. 11840/13.05.2022
- ✓ Agency's Cabinet Office Business Continuity Plan for year 2022, registered under no. 10167/28.04.2022
- ✓ Internal Public Audit Department Business Continuity Plan for year 2022, no. 19427/04.08.2022, updated by the Business Continuity Plan of the Internal Public Audit Department for 2022 no. 32815/28.12.2022.

A risk register was prepared by each Agency structure. Also, the Risk Register at Agency level no. 4129/13.02.2023, has been prepared and includes a number of 35 risks.

We analyzed the Report on the development of the risk management process in 2022, as follows:

- ✓ Integrity Inspection Annual Report on the development of the risk management process in 2022, registered under no. 29845/25.11.2022
- ✓ Economic Department Annual Report on the development of the risk management process in 2022, registered under no. 30083/29.11.2022
- ✓ ITPILGD Annual Report on the development of the risk management process in 2022, registered under no. 30293/05.12.2022
- ✓ LPRCGD Annual Report on the development of the risk management process in 2022, registered under no. 33056/30.12.2022
- ✓ HRD Annual Report on the development of the risk management process in 2022, registered under no. 30197/05.12.2022
- ✓ Agency's Cabinet Office Annual Report on the development of the risk management process in 2022, registered under no. 31226/13.012.2022.
- ✓ Internal Public Audit Department Annual Report on the development of the risk management process in 2022, registered under no. 29979/28.11.2022

The Program for the development of the managerial control system, for the year 2022, has been endorsed by the Chairman of the Monitoring Commission and approved by the Agency's President on 13.02.2022. The plan addresses each of the risks identified by each Agency structure by establishing appropriate control measures, a deadline for the implementation of such measures, as well as the persons responsible for implementing the established measures.

The Register of sensitive roles at Agency level, for the year 2022, registered under no. 4128/13.02.2023, as well as the Centralized List of sensitive roles at Agency level, for the year 2022, registered under no. 4128/13.02.2023, have been elaborated based on the situations provided by each of the 1st level Agency departments, as follows:

- ✓ List of sensitive roles at Integrity Inspection level, registered under no. 29846/25.11.2022
- ✓ List of sensitive roles at Economic Department level, registered under no 30079/29.11.2022
- ✓ List of sensitive roles at ITPILGS level, registered under no 30241/05.12.2022
- ✓ List of sensitive roles at LPRCGD level, registered under no 33057/30.12.2022
- ✓ List of sensitive roles at HRD level, registered under no 30200/05.12.2022
- ✓ List of sensitive roles at Agency's management, registered under no. 31227/13.12.2022
- ✓ List of sensitive roles at PIAD level, registered under no 29980/28.11.2022

According to the information provided by the Secretary of the Monitoring Commission of Internal Management Control System no professional training courses related to internal management control systems were conducted in 2022.

Following our verifications performed regarding the activity performed in 2022, **the following observation** was identified:

- *At the level of 2022, it was identified the need to draft a system procedure regarding the elaboration of the report of necessity, which would define the responsibilities of each*

department involved in the initiation of the public procurement/direct purchase procedure.

Follow-up on the extent to which the findings identified in the engagements prior to year 2022 were addressed:

The following observation **was remedied**:

- *Managing ANI's public interest alerts are not carried out by an independent person. The role of the Ethics Adviser in recent years has been limited to ANI's staff awareness regarding the Code of Conduct of the institution and has not been explicitly directed to the legal framework governing SNA 2016-2020.*

On 22 December 2022, the Law no. 361/2022 on the protection of whistleblowers in the public interest entered into force. According to Article 17, paragraph 10 of the Law "Reports concerning the President and Vice-President of the Agency, and the staff of the Agency, shall be examined and resolved within National Integrity Council" According to the new law, ANI has the obligation to establish a distinct specialized structure, with attributions of management of reports regarding violations of the Law, within 45 days from the date of entry into force of the Law. The process of establishing the new structure, the Integrity Whistleblower Directorate, began in 2022, and in March 2023 it became operational, having operational procedures and also established internal and external lines of communication.

The following observation **was not remedied**:

- *According to the operational procedure to establish and return the deposit guarantee for performance (PO 06 / SAIA - BAIL), it is necessary to separate the responsibility attributed and to monitor the contract between the person designated to perform the procurement procedures on behalf of SAIA - BAIL and the person in charge of contract from the department which initiated the acquisition.*

During 2022, no operational procedure was developed regarding the management of contracts awarded as a result of public procurement procedures, which would include provisions regarding the appointment of a person in charge of monitoring the execution of the contract in the department which initiated the procurement procedure, at the moment of the procurement procedure initiation, by submitting the Necessity Report. It is necessary for a person to be appointed in charge of monitoring the implementation of each contract, until final delivery of products/services/works, and this person should be part of the team initiating the procurement procedure.

We recommend analyzing the possibility of developing a system procedure, in cooperation of all Agency structures involved in the contract monitoring process, starting from the initiation of the procurement procedure, taking into account that responsibilities S.A.I.A.-B.A.I.L end with the signing the purchase contract/order note/invoice. Such procedure should include specific details regarding all steps to be followed for ensuring contract management, including designated responsibilities and forms to be used in the process.

5.9 The assessment of the personal data processing activity

We examined the applicability of the General Regulation on Data Protection no. 679/2016 (hereinafter referred to as **"the Regulation"** or **"GDPR"**) in order to ascertain the categories of personal data processing that fall under the Regulation.

We found that personal data being processed as part of Agency's core activity does not fall under the scope of the GDPR Regulation, pursuant to Article 2. Paragraph 2 letter d), which stipulates that *"This Regulation does not apply to the processing of personal data: (...) by competent authorities for the purposes of the prevention, investigation, detection or prosecution of criminal offences or the execution of criminal penalties, including the safeguarding against and the prevention of threats to public security"*.

We have followed how the recommendations from previous years have been implemented.

Follow-up on the extent to which the findings identified in the engagements prior to year 2022 were addressed:

The following deficiency **was partially remedied**:

- *Procedures for management of IT events were identified but no specific mentions were found regarding personal data protection. Although technical and organizational measures have been taken to demonstrate compliance with the provisions of the GDPR, the interviews with the responsible persons identified areas covered by the Regulation that are not technically implemented (period of storage of data / activity logs in the system, the implementation of the right to be forgotten).*

In 2022 we did not observe the complete implementation of this observation. The process of administrative digitalization continued; however, efforts have been focused on the process of digitalizing assets and interests declarations.

The following deficiencies **were not remedied**:

- *At the time of the evaluation, after consulting the Agency's updated organizational chart, we noted that the position of Data Protection Officer (DPO) is not distinctly defined.*

There is no legal requirement for ANI to have a separate position for the DPO defined in the Organisation chart. However, during 2022 no adequate mechanisms have been implemented at NIA level to ensure the independence of the designated DPO from the activities they evaluate.

Currently, the DPO designated at ANI level, by Order of the Agency's President no. 4874 / 04.04.2018, is a senior auditor, part of the Public Internal Audit Department. Considering the provisions of art. 22 of Law no. 672/200 on public internal audit, *"internal auditors should not be involved in any way in the performance of activities that they could potentially audit, nor in the development and implementation of internal control systems for public entities"*. Also, in accordance with point 3.2.2.1.1 of Government Decision no. 1086/2013 for the approval of the General Norms regarding the exercise of the public internal audit activity: *"through its attributions, the public internal audit department must not be involved in the exercise of auditable activities or in the elaboration of specific procedures, other than those of internal audit"*.

In this context, we reiterate the need to implement, as a matter of priority, the recommendation formulated on ensuring the independence of the DPO, including independence from the activities it assesses.

- *Regarding awareness-raising sessions related to personal data protection and information security, the DPO as well as other ANI employees participated in various training sessions.*

In 2022, Agency employees did not attend professional training courses in the field personal data protection.

6 Use of this report

This Report is intended for use by the management of the National Integrity Agency, in order to communicate it to the National Integrity Council and publish it on the Agency's website. As such, the comments/findings included in this report should not constitute a basis for any further action.

Our findings, as presented in this Report, are based on the documentation provided to us by ANI.

We cannot rule out the possibility that we may have reached different findings if additional information and documents had been made available to us. We relied on the contents of the documents and information provided to us and assumed that this information and documents are correct and complete.

If there is additional information and / or documentation that has not been disclosed or provided to us, or if any of the verbal statements or explanations are incorrect or misleading, it is possible that any of the findings, interpretations or opinions contained herein in this Report are incomplete or have yielded different results, which would require different and additional procedures outside the scope of this mission.

The verification procedures performed by TGS were agreed between the National Integrity Agency and TGS. TGS does not give any assurance as to the adequacy of these verification procedures performed for the purposes of the Agency. If we had applied additional specified procedures, it is possible that other issues would have come to our attention, issues that we would have reported to ANI.

This Report should not be construed as expressing opinions in the legal field that are outside our area of expertise.

TGS is not responsible for updating this Report with events or circumstances occurring after 31.12.2022.

This Report or its contents may not be used, reproduced or distributed, in whole or in part, to any other party or for any purpose other than that for which it was issued, without the prior written consent of TGS, except those referred to in the first paragraph. Furthermore, we do not accept liability to any third party for any breach of this obligation or for any opinion expressed or information presented in this Report. The information included in this Report is provided on the assumption that the recipient will not use it as the sole basis for any action or decision. This Report covers only the elements specified above and does not extend to any other type of financial information.

This report refers only to the audit of the management of the National Integrity Agency during 2022 carried out in accordance with the provisions of the SSRI 4400 standard, as defined in the specifications.

✎ End of the Report ✎

7 ANNEX 1 Status of implementation of the objectives of the ANI Strategy 2022 - 2025

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
O1 – Analysis of current legislation and Agency case law	NRRP CVM Reports European Commission reports on the rule of law GRECO Reports G20 – High-level principles on wealth disclosure by public officials Criticisms of civil society Inconsistency of judicial practice Agency Practice	Clarifying and unifying legislation Eliminating procedural inconsistencies Uniform application of the integrity rules	Preliminary analysis report	Difficulties and delays in project implementation	EU Funds (NIAct Project)	NIAct Project team	Quarter IV 2022	Implemented The analysis of the current legislation and the Agency's case law was completed in December 2022, resulting in the research report with the following annexes: -Legislative Analysis Narrative Report; -Analysis of international recommendations on incompatibilities, conflict of interest, declarations of assets and interest; -Analysis of three vulnerable areas to integrity incidents; -Analysis of the health and education sectors from the perspective of the management of the monitoring mechanism of the National Anti-Corruption Strategy implementation; -The recommendations of the working group of the local

54 / 107

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
								public administration representatives.
O2 – Drafting the proposal for legislative intervention	PNRR CVM reports European Commission reports on the rule of law GRECO Reports G20 – High-level principles on wath desclosure by public officials Criticisms of civil society Inconsistency of judicial practice Agency Practice	Clarifying and unifying legislation Eliminating procedural inconsistencies Uniform application of the integrity rules	Proposal for a new law	Difficulties and delays in project implementation	EU Funds (NIAct Project)	NIAct Project team	Quarter III 2023	N.A.
O3 – Public debate on the new legislative proposal	NRRP CVM Reports	Clarifying and unifying legislation	Procedures for submission for	Difficulties and delays in project implementation	EU Funds (NIAct Project)	NIAct Project team	December 2023	N.A.

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
	<p>European Commission reports on the rule of law</p> <p>GRECO Reports</p> <p>G20 – High-level principles on wealth disclosure by public officials</p> <p>Criticism of civil society</p> <p>Inconsistency of judicial practice</p> <p>Agency Practice</p>	<p>Eliminating procedural inconsistencies</p> <p>Uniform application of the integrity rules</p>	public debate completed					
O4 – Promotion in the legislative circuit and adoption of the legislative proposal	<p>NRRP</p> <p>CVM Reports</p> <p>European Commission reports on the rule of law</p> <p>GRECO reports</p>	<p>Clarifying and unifying legislation</p> <p>Eliminating procedural inconsistencies</p>	<p>Legislative proposal promoted on the legislative circuit</p> <p>Legislation adopted</p>	<p>The legislative gridlock</p> <p>Delays in approving legislative proposals</p>	EU Funds (NIAct Project)	NIAct Project team	December 2024 (maximum deadline assumed by the NRRP)	N.A.

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
	G20 – High-level principles on wealth disclosure by public officials Criticism of civil society Inconsistency of judicial practice Agency Practice	Uniform application of the integrity rules						
O5 – Completion of the risk analysis module for declarations of assets and interest	GRECO Reports Agency Practice	Increased data processing capacity Reduction of processing times Streamlining evaluation activity	Risk analysis software module completed	Difficulties and delays in project implementation	EU Funds (EMOD Project)	EMOD Project team	July 2022	Partially implemented The EMOD Project – “Development of the institutional capacity of the National Integrity Agency to streamline internal workflows and the submission of the declarations of assets and interest in the electoral and annual process” SMIS 129864, Priority Axis 1 Efficient Public Administration and Judicial System, with a completion date of 1 st August 2022, has been extended to 1 st October 2022, with the Project

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
								<p>Progress reported dated 28th October 2022.</p> <p>Within the project, an analysis software platform – SAS – has been completed, providing scoring functionalities for integrity inspectors (i.e. activity prior to the analysis supporting the investigation whereby the system generates calculation algorithms to determine the risk associated with a statement) which facilitates the pre-analysis phase of the files with automatic and adaptive mechanisms that can automatically trigger an analysis (i.e. alert). The advanced data analysis IT platform is not fully integrated with the ANI infrastructure (SIMIDAI system). The application is designed to streamline the analysis flow of files assigned to an integrity inspector for resolution. As of 31 December 2022, the functionality of the integrated SAS-SIMIDAI</p>

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
								platform was temporarily limited. The situation will be corrected in the first part of 2023.
O6 – Creating IT applications to streamline and reduce file analysis time	Independent external audit report for 2020	Reducing the time taken to process cases Digitising the supervision and monitoring of files	Improved IT management module	Insufficient human and budgetary resources Technological and security limitations	ANI Budget External funds	ITPILGD ITD	December 2022	Partially Implemented One of the results of the EMOD project was the creation of an analysis platform – SAS – that provides scoring functionality for integrity inspectors that involves an investigation whereby the system generates calculation algorithms to determine the risk associated with each declaration of assets and interest. This facilitates the pre-analysis phase of the files, with the functionality to trigger an alert. The application includes distinct functionalities customized for each category of user (Director ITD, Head of Service, Integrity Inspectors) and aims at streamlining the flow of analysis of integrity inspectors' files, as at the time of the audit the advanced analysis IT platform was

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
								integrated with the ANI infrastructure and had the possibility to receive data from various sources. As of 31 December 2022, the functionality of the system was limited, and this will be addressed in the first quarter of 2023.
O7 – Interfacing SIMIDAI with relevant external registers and databases in the integrity incident assessment process	GRECO Reports Independent external audit report for 2022 Agency Practice	Increased data processing capacity Reduction of processing times	Automatic access to external databases	Insufficient human and budgetary resources Technological and security limitations Lack of responsiveness of decision-makers	ANI Budget EU Funds (EMOD Project)	ITD ITPILGD EMOD Project team	December 2023	N.A.
O8 – Leveraging open data from key sensitive areas³ to	GRECO Reports Agency Practice	Proactivity in selection the cases, increased	Internal procedures developed	Insufficient staffing at the Directorate	ANI Budget	ITD	Permanent	Not implemented

³ The priority sectors established by the National Anti-Corruption Strategy 2021 – 2025 are: the public health system, the national education system, the business environment in Romania, the field of public procurement, the financing of political parties and electoral campaigns, the activity of Members of Parliament, the protection of cultural heritage, the field of environmental protection

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
Identify potential integrity incidents	National Anti-Corruption Strategy 2021-2025	data processing capacity solidification of ANI caseload	Potential integrity incidents assessed	General Integrity Inspection Lack of open data				
O9 – Making integrity incident assessment work more efficient	CVM Reports European Commission reports on the rule of law GRECO Reports Law no. 144/2007, as amended and supplemented Law no. 176/2010, as amended and supplemented	Improved capacity to assess integrity incidents Shortening the time taken to process cases	N.A.	Insufficient staffing at the Director General Integrity Inspection	ANI Budget	ITD	Permanent	Implemented As of 1 st January 2022, the persons referred to in the Law no 176/2010 are obliged to submit their declarations of assets and interest exclusively in electronic format, through the e-DAI platform. Through the platform, integrity inspectors have real-time access to the list of persons who have not complied with the legal provisions on the deadlines for submitting declarations of assets and interest, eliminating the obligation for officials in public institutions to draw up and submit this list to ANI.

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
								The platform also offers depositors the possibility to request anonymization of income, in cases where there are special rules or clauses ensuring the confidentiality of the income of depositors or their family members. Integrity inspectors resolve these requests, via the e-DAI platform, thus reducing the time taken to resolve and communicate the measures taken. The information generated by the e-DAI module can be used by integrity inspectors as risk factors that can contribute to triggering the assessment activity (failure to submit declarations of assets and interest).
O10 – Fulfilling the tasks laid down in the Law transposing the Directive on the protection of whistleblowers in the public interest	Law transposing Directive (EU) 2019/1937 on the protection of whistleblowers in the public interest NRRP	Implementation of the legal tasks incumbent on ANI	Amended and supplemented Regulation on the organisation and functioning of ANI	Failure to allocate the necessary human and financial resources Failure to identify best practices	ANI Budget	All departments of ANI	Permanent	Implemented Law no. 361/2022 on the protection of whistleblowers in the public interest entered into force on 22 December 2022. The law transposes Directive (EU) 2019/1937 of the European Parliament and of the Council of 23 October

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
	National Anti-Corruption Strategy 2021-2025		<p>Supplementary establishment plan</p> <p>Internal enforcement procedure adopted</p> <p>Information sessions for the public and private sector on the new legislative framework transposing Directive 2019/1937 carried out</p> <p>Guide on the protection of whistle blowers in the public interest to include best practices identified at national and European level developed and disseminated</p>	Insufficient space to carry out the activity in optimal conditions				<p>2019 on the protection of persons reporting breaches of Union law and implements milestone 430 of the National Recovery and Resilience Plan, Component C14, Good Governance, Reform 6, Stepping up the fight against corruption. According to the new law, ANI becomes an external reporting channel - an authority competent to receive reports of violations of the law, defined by Article 3 of the Law as oral or written communications on facts consisting of an action or inaction that constitute non-compliance with the legal provisions and is obliged to establish a separate specialized structure, with attributions to manage these reports, structure to be established within 45 days from the date of entry into force of the Law, i.e. by 6 February 2023. ANI has taken all the necessary steps to set up the „Public Interest</p>

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
								Whistleblowers Directorate" structure, obtaining a favorable opinion for the new organizational structure, and the new structure's attributions are included in the Organization and Functioning Regulation. ANI has also started the process of drafting the operational procedures applicable to the separate structure and related information materials.
O11 – Development of the PREVENT system (objective set by NRRP, Pillar II, Digital Transformation, Component C7. Digital Transformation)	CVM Reports European Commission report on the rule of law NRRP Independent external audit report for 2020	Increasing interoperability of public institutions' electronical systems for ex-ante verification of conflict of interest in the public procurement process Improvement of the PREVENT system	All public procurement procedures initiated and conducted exclusively through SEAP by the contracting authorities referred to in Article 4 of Law no. 98/2016 and Article 4 of Law no.99/2016 analysed All integrity warnings issued	Failure to allocate the necessary human and financial resources Technological and security limitations	NRRP Funds ANI Budget	Analysis and Prevention Service ITPILGD	December 2025 (maximum deadline assumed by NRRP)	N.A.

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
			by PREVENT IT system reviewed and resolved Statistical data on PREVENT IT system published quarterly					
O12 –Design and development of the digital awareness and prevention platform (objective set by the NRRP, Pillar IT Digital Transformation, Component C7. Digital Transformation	NRRP National Anti-Corruption Strategy 2021 – 2025	Raising awareness of integrity rules among stakeholders Reducing the number of integrity incidents Reduction in the number of requests for views on the legal framework for integrity addressed to ANI	Digital Integrity Portal platform developed	Failure to allocate the necessary human and financial resources Lack of interest of the target group Technological dysfunctions	NNRP Funds ANI Budget	ITPILGD LPRCGD ITD	December 2025 (maximum time limit assumed by the NRRP)	N.A.
O13 – Ensuring integrity and transparency in the conduct of electoral process	CVM Reports European Commission reports on the rule of law	Optimising the process of submitting declarations of assets and interest by candidates	Assistance with the completion of declarations of assets and interest by candidates	Ununiform interpretatins by the courts Lack of responsiveness of	ANI Budget	ITD ITPILGD LPRCGD	Permanent	N.A.

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
		<p>Reduce the number of potential integrity incidents</p> <p>Avoiding inconsistent interpretations of Article 25 of Law no. 176/2010 by the courts on the validation of the mandates of elected representatives</p> <p>Avoiding the resumption of electoral processes following the invalidation of the mandates of banned elected representatives</p>	<p>List of persons prohibited from holding elected office updated</p> <p>Special section on ANI website dedicated to electoral process</p>	local/central decision- makers		CPRD		
O14 – Develop an induction package on the legal framework on integrity for public offices and	National Anti-Corruption Strategy 2021 – 2025	Raising awareness of integrity rules among persons subject to Law no. 176/2010	Guidelines developed by specific categories of	Failure to allocate the necessary human and financial resources	ANI Budget	<p>ITD</p> <p>LPRCGD</p>	December 2023	N.A.

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
dignitaries in central and local government and legislative structures	Agency Practice	<p>Reduce the number of integrity incidents</p> <p>Reducing the number of request for biewa on the legal framework for integrity</p>	functions and disseminated	Lack of interest of the target group				
O15 – Implementation of training programmes on the integrity framework by specific categories of public functions and entities	<p>National Anti-Corruption Strategu 2021 – 2025</p> <p>ANI Practice</p>	<p>Raising awareness of integrity rules among persons subject to Law no 176/2010</p> <p>Reduce the number of integrity incidents</p>	Minimum 3 training programmes organised annually	<p>Lack of responsiveness of policy makers</p> <p>Failure to allocate the necessary resources</p> <p>Constraints imposed by the COVID-19 pandemic</p>	ANI Budget	<p>ITD</p> <p>LPRCGD</p> <p>CPRD</p>	Permanent	<p>Implemented</p> <p>During 2022, The National Integrity Agency organised 10 online training sessions on the digitalization of the process of submitting declarations of assets and interest. At the same time, other topics of interest related to the regime of incompatibilities and conflict of interest were addressed during the sessions. Approximately 3.000 persons responsible for the implementation of the legal provisions on declarations of assets and interest, as well as depositors from public authorities and institutions</p>

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
								<p>participated in the sessions. During 2022, training sessions were organized for persons in management positions in the national Electricity Transmission Company Transelectrica S.A (2 sessions attended by 35 persons) and in the National Company "Romanian Lottery" (one session attended by 40 persons in management positions). The sessions focused on the process of completing declarations of assets and interest and the legal framework of integrity. At the same time, during 12 – 13 December and 15-16 December 2022, two training sessions were organized within the NIAct project in Bucharest, for 41 persons responsible for the implementation of the provisions of Law no. 176/2010. Also, during 2022, integrity inspectors from ANI held, as lecturers, 5 training sessions in the field of prevention and fight against</p>

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
								corruption and transfer of best practices between teams of practioners (prosecutors, judicial police, officers, prevention officers), organised by the General Anticorruption Directorate. Tre training sessions were organised in the framework of the Project "Integrated Development of Anti-Corruption Tools – ANTICOR_INT". ANI representatives presented methods for deadline with conflicts of interest, incompatibilities and unjustified wealth cases.
O16 – Continue communication and awareness – raising processes on the transition to the electronic declaration system	National Anti-Corruption Strategy 2021 – 2025 Agency Practice	Increasing compliance among responsible persons and depositors referred to in Article 1 (1). (1), points 1-38 of the Law no. 176/2010 on the submission of declarations of assets and interest	Information activities carried out annually	Lack of responsiveness among entity managers, responbile persons and depositors Lack of budgetary resources to purchase qualified	EU Funds (NIAct Project) ANI Budget	NIAct Project Team ITD ITPILGD CPRD	Permanent	Implemented In 2022, the National Integrity Agency organized 10 online training sessions on the digitalization of the process of filing declarations of assets and interest, and during these sessions other topics of interest related to the regime of incompatibilities and conflict of interest were also addressed. The number of participants in the online

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
		in the e-DAI platform		electronic signatures				training sessions was around 3.000 persons responsible for the implementation of the legal provisions on declarations of assets and interest, as well as depositors from public authorities and institutions. The Agency also issued press releases and electronically sent 342 information addresses to public institutions and authorities, associative structures, county councils and prefectures with the aim of increasing compliance among entities responsible persons and depositors on the filing of declarations via the e-DAI platform.
O17 – Improving the design of the ANI website	Law no 544/2001, as amended and supplemented H.G No. 123/2002, as amended and supplemented	Improving public reporting on ANI's work	Improved ANI website	Delays in design and programming execution	ANI Budget	ITPILGD CPRD	April 2022	Partially Implemented The National Integrity Agency's new website at the time of the audit was being optimizer and is expected to be completed in the first half of 2023. The delay was caused by the increased volume of data needed to be imported from the old

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
	Memorandum of the Romanian Government on increasing transparency and standardising the display of information on public interest (2016) National Anti-Corruption Strategy 2021-2025							website and translated to the new website, which required an extension of the deadline.
O18 – Implementation of the provisions that ANI is required by Law no. 129/2019 as amended and supplemented	Law 129/2019, as amended and supplemented	Fulfilment of the legal duties incumbent on ANI under Law no. 129/2019	List of important public functions updated whenever necessary List of important public functions transmitted to the European Commission by electronic means only	Non-transmission by entities of changes made	ANI Budget	CPRD	Permanent	Implemented On 12 April 2022, the list of important public functions was updated and is available on the ANI website, in the dedicated section (https://bit.ly/3I7rgJ3). The list of important public functions drawn up by ANI was also sent to the Representation of the European Commission and the National Office for the Prevention and Combating of

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
			Dialogue with the National Office for Preventing and Combating Money Laundering					Money Laundering on 15 April 2022.
O19 – Promoting the concept of public integrity in university and pre-university education	Agency initiatives Requests from the academic world for internships	Strengthening collaboration with academia	At least 3 events dedicated to university and pre-university education institutions organised annually	N.A.	ANI Budget	ITD LPRCGD CPRD	Permanent	Implemented In 2022, ANI organized two internships for students from the University of Bucharest – Faculty of Law, as well as from the National School of Political and Administrative Studies during which the work of ANI and the legal framework of integrity were presented, individual studies, practical topics were carried out, and lawsuits were simulated following a challenge to an evaluation report issued by ANI.

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
								<p>Among other events dedicated to educational institutions we can mention the following: participation of a representative of ANI as a speaker at the conference organized by the Association of Students of Administration and Business of the University of Bucharest (within the project <i>First Steps in the Public Sector</i>), participation of a representative of ANI as a guest speaker at the course <i>Public Integrity</i>, held within the Master's program Management of Public Organizations of the Department of Political Sciences of the Faculty of Political, Administrative and Communication Services of the Babeş – Bolyai University of Cluj-Napoca.</p> <p>Also, in July 2022, an ANI representative participated in the first edition of the <i>Integrity and Transparency in Public Administration. Stop Corruption!</i> summer School, organized by the Faculty of</p>

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
								Law and Administrative Sciences of "Dunarea de Jos" University of Galati and the General Anti-Corruption Directorate. During the event, the ANI representative gave a lecture on the work and results of the National Integrity Agency.
O20 – Continuing implementation of the EMOD project	Financing contract concluded with the Managing Authority POCA	Completion of EMOD project	<p>Final Claim for reimbursement submitted to AM POCA</p> <p>Lack of recommendations on project implementation in the independent external audit report</p> <p>Expected results achieved</p> <p>General and specific objectives met</p>	Difficulties in project implementation	EU Funds (EMOD Project)	EMOD Project team	July 2022	<p>Implemented</p> <p>The final application for reimbursement under the EMOD project was submitted and subsequently approved by the Management Authority. Thus, the expected results of the project have been achieved and the general and specific objectives have been met. At the same time, the independent external audit report for the year 2021 does not contain recommendations related to the implementation of the project.</p>

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
O21 – Continuous professional development of Agency staff in specific areas of competence	Independent external audit report Annual professional development plan for National Integrity Agency staff Plan of measures for the professional training of ANI staff	Increasing the professional capacity of ANI staff	One training programme/ exmployee/year	Failure to allocate the necessary budgetary resources	ANI Budget	HRD	Permanent	Partially Implemented During 2022, 34 Agency employees participated in 35 training programmes. Also, in 2022, integrity inspectors participated in two training sessions on the use of Open-Source Intelligence (OSINT) in the conduct of evaluation work, delivered by a representative from the US Department of Justice through OPDAT – Office of International Development, Assistance and Training for Prosecutors.
O22 – Ensuring Human Resources Management	Independent external audit report The Agency's establishment plan	Conducting the work of the institution in optimal conditions Planning and management of the Agency's human resources Recruitment and selection of ANI staff	Human Resources Management Policy developed	N.A.	ANI Budget	HRD	June 2022/Permanent	Partially Implemented At the end of 2022, the Human Resources Management Policy was being finalized.

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
		Evaluation of individual performance						
O23 – Develop ANI's technical capabilities to retrieve and process declarations of assets and interest exclusively in digital format (objective set by the NRRP, Pillar II Digital Transformation Component 7. Digital Transformation)	NRRP CVM Reports European Commission reports on the rule of law GRECO Reports	To carry out ANI's work in optimal conditions in terms of technical resources Development of ANI's technical capabilities to retrieve and process declarations of interest and assets exclusively in digital format on qualified electronic signatures (cf. European eIDAS Regulation 910/2014)	e-DAI system up and running	Dailure to allocate the necessary human and financial resources Technological and security limitations	NRRP Funds	ITPILGD	December 2025 (maximum term assumed by NRRP)	N.A.
O24 – Implementation of the recommendations highlighted in the Independent External Audit Annual Reports	Law no. 144/2007, as amended and supplemented Annual independent	Improving the Agency's institutional capacity	No. of recommendations implemented	Insufficient human resources, budgetary resources and technical resources	ANI Budget	All ANI departments	Permanent	Partially Implemented In the External Audit Report for 2021, the achievements of ANI for 2021, include the implementation of 77% of the recommendations made in previous audit reports, which

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
	external audit reports							indicates a high degree of commitment and efficiency on the part of all departments of the institution.
O25 – Implementation of the objectives and measures set out in the National Anti-Corruption Strategy 2021 – 2025	National Anti-Corruption Strategy 2021 – 2025	Implementaiton of integrity measures at ANI level Boost cooperation with institutions represented at the level of the Cooperation Platform of Independent Authorities and Anti- Corruption Institutions set up under the National Anti Corruption Strategy	Organisational integrity agenda adopted and distributed to ANI staff Integrity plan adopted and distributed Degree of implementation of Integrity Plan assessed annually and adapted to emerging risks and vulnerabilities Corruption risks identified, analysed assessed and monitored Integrity incidents at ANI (National	Insufficient human resources, budgetary resources and technical resources	ANI Budget	CPRD	December 2025	N.A.

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
			<p>Integrity Agency) level identified, assessed and reported on a unitary basis</p> <p>Contributions requested by ST of SNA (national Anti Corruption Strategy) submitted</p> <p>No. of coordination and monitoring activities of the strategy</p> <p>SNA portal used</p> <p>No. of participations in meetings of the Platform for Cooperaton of Independent Authorities and Anti-Corruption Institutions</p>					

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
			<p>No. of participations, in thematic evaluation missions</p> <p>No. of participations in working groups, set up at the level of the SNA at the request of the ST of SNA</p>					
O26 – Fulfilling the role of beneficiary and coordinator of reforms and/or investments in NRRP	NRRP Government Emergency Ordinance no. 124/2021	<p>Fulfillment of the role of coordinator of reforms and/or investments according to O.U.G. no. 124/2021</p> <p>Implementation of projects budgeted under Romania's National Recovery and Resilience Plan</p>	<p>Number of participations in the working meetings and activities of the Interministerial Steering Committee of the NRRP</p> <p>No. of reports to the Ministru of Investment and European Projects (MIEP)</p>	Insufficient human resources, budgetary resources, and technical resources	NRRP Budget	The NRRP project implementation team set up at ANI level	December 2025 (maximum time limit assumed by the NRRP)	N.A.

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
O27 – Maintain constant dialogue with the Romanian Parliament, central public administration authorities and institutions, local public administration, associations and civil society	CVM Reports European Commission report on the rule of law GRECO Reports	Ensure a framework for constant dialogue with the Romanian Parliament central public administration authorities and institutions, local public administration, associative structures and civil society	No. of joint projects carried out No. of meetings organised No of official addresses sent	Lack of responsiveness of decision-makers	ANI Budget	ITD LPRCGD CPRD	Permanent	Implemented During 2022 the National Integrity Agency maintained a constant dialogue with national entities to ensure an improved framework for preventing and combating integrity incidents. Thus, in the context of the mandatory electronic submission of declarations of assets and interests, as of 1 st January 2022, the National Integrity Agency sent, during 2022, 342 information addresses to public institutions and authorities, associative structures, county councils and prefectures, with the aim of raising awareness among persons covered by Law no. 176/2010. At the same time, ANI actively participated in the Government's work in the context of the adoption of Emergency Ordinance No. 182/2022 extending until 31 December 2023 the obligation to sign declarations of assets and

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
								<p>interests exclusively with a qualified electronic signature. Moreover, the National Integrity Agency was an active participant in the legislative process of adopting Law no. 361/2022 on the protection of whistleblowers in the public interest, including at the review stage following the request of the President of Romania.</p> <p>Thus, during the legislative procedure of PL-x no. 219/2022 by the Chamber of Deputies, the National Integrity Agency participated in the meetings of seven committees of the Chamber. At the same time, the National Integrity Agency participated in meetings with representatives of the Ministry of Justice and other stakeholders involved in the adoption of the draft legislation.</p> <p>Moreover, ANI participated in the meeting of the Social Dialogue Commission and</p>

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								<p>the Government meetings in the context of the adoption of Emergency Ordinance no. 190/2022 for the completion of Annex no. 51 to Government Emergency Ordinance no. 57/2019 on the Administrative Code. At the same time, the National Integrity Agency participated in the Government meetings regarding the adoption of the budget or at the time of its rectification, as well as whenever items concerning the work of the Agency were included on the agenda.</p> <p>Last, but not least, during 2022, the National Integrity Agency formulated 12 points of view on legislative proposals under debate for adoption in the Senate and the Chamber of Deputies, which interfered with the scope of activity of the institution, as well as in the context of presenting the Agency's point of view to ministries and public institutions in the event of</p>

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
								amending the legislative framework on the basis of which these entities carried out their activity and bringing it into line with adopted integrity framework.
O28 – Boosting the work of the Network for Integrity, as Chairman of the Network	Network for Integrity Action Plan 2021 – 2023, Network for Integrity Charter	<p>Making the Integrity Network more effective</p> <p>Strengthening cooperation between Network members</p> <p>Improving relations with international bodies</p> <p>Increasing the visibility of the Network</p>	Action plan implemented minimum 90%	<p>Insufficient human and budgetary resources</p> <p>Restrictions imposed by the COVID-19 pandemic</p> <p>Lack of responsiveness of Integrity Network members</p>	<p>ANI Budget</p> <p>Budget members Network for Integrity</p>	Secretariat of the Integrity Network/CPRD	February 2023	<p>Partially implemented</p> <p>The National Integrity Agency held the Presidency of the Network for Integrity during 2022. The Chairmanship mandate will be handed over the National Institute for Transparency. Access to Information and Personal Data Protection (INAI) at the Network's plenaty session in 2023.</p> <p>Thus, during 2022, the Agency continued the implementation of the measures set out in the Network Action Plan 2021 – 2023, with approximately 50% of the measures implemented or partially implemented by the end of 2022. Among the measures implemented in 2022 we mention:</p>

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
								<p>-taking steps to increase the number of Network members (official addresses were sent to the ANI counterpart institutions in Albania, Lithuania and Greece);</p> <p>-maintaining dialogue with the INAI representatives, who hold the Vice-Chairmanship of the Network, in cooperation with the Presidency held by ANI;</p> <p>-finalizing the revision of the Network for Integrity Charter;</p> <p>-exchange best practices with Network member institutions (Commission for Combating Corruption and Confiscation of the Illegal Assets – CACIAF, National Integrity Authority – Republic of Moldova);</p> <p>-promotion of the Network by the Agency's representatives at international events in which ANI participation has been ensured.</p> <p>Also, at the end of 2022 the process of organizing the plenary session of the Network for Integrity was</p>

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
								started (event expected to take place in the first semester of 2023).
O29 – Involvement of ANI experts in monitoring missions carried out by international bodies in the area of integrity	Requests from international bodies National Anti-Corruption Strategy 2021 – 2025	Strengthening ANI's image as an international donor of good practice in the field of integrity	No. of events with participation of ANI experts	Insufficient human and budgetary resources Restrictions imposed by the COVID-19 pandemic	ANI Budget International Bodies Budget	CPRD	Permanent	Implemented Romania's accession to the Organisation for Economic Cooperation and Development (OECD) was one of the most important national goals. To assess the integrity standards promoted by the OECD, a series of meetings were organised throughout 2022 (13-14 April, 23 August and 9 November) as part of the project " <i>Capacity building in the field of public governance – a coordinated approach of the Centre of the Government of Romania</i> ". In these meetings coordinated by the Ministry of Justice ANI formed a joint group with the National Anti-Corruption Directorate and the General Anti-Corruption Directorate. Also, in 2022, a number of events were organised in which ANI representatives participated, such as:

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
								<p>-1 February – Mission organised as part of the analysis on the application of corporate governance principles to state – owned companies;</p> <p>-30 March – 1 April – Integrity forum international conference,</p> <p>-4 July – Closing conference of the technical assistance project on compliance of national legislation with the Organisation for Economic Cooperation and Development (OECD) regarding the Convention on Combating Bribery of Public Officials in International Business Activities.</p>
O30 – Promoting ANI's institutional profile and exchange of best practices at international level	<p>Requests from institutions with a similar profile</p> <p>National Anti-Corruption Strategy 2021 – 2025</p>	Strengthening ANI's image as an international donor of good practice in the field of integrity	<p>No. of events with participation of ANI experts</p> <p>No. of study visits organised</p>	<p>Insufficient human and budgetary resources</p> <p>Restrictions imposed by the COVID-19 pandemic</p>	ANI Budget	CPRD	Permanent	<p>Implemented</p> <p>In 2022, representatives of the Agency participated in a series of international events, to promote ANI's institutional profile and the exchange of best practices at international level.</p>

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
								<p>Independent Authority Against Corruption (Mongolia)</p> <p>On 14 January 2022, ANI received the official delegation of the Independent Authority Against Corruption of Mongolia, composed of 7 representatives. During the meeting topics of interest for work of both institutions were discussed.</p> <p>Reception of the official delegation from the Republic of Armenia</p> <p>At the invitation of Expert Forum Romania, the organizer of the visit, the National Integrity Agency received on 3rd May 2022, a delegation from the Republic of Armenia consisting of eight representatives of civil society and anti-corruption institutions. The members of the Armenian delegation participated in discussions</p>

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								<p>with the Agency's staff regarding the work of ANI.</p> <p>Bulgaria, Sofia – Study Visit</p> <p>At the invitation of America for Bulgaria Foundation, Mr. Silviu Ioan POPA, Secretary General of ANI, participated in a study visit to share Romania's anti-corruption experience with key stakeholders in Bulgaria from 8 to 9 June.</p> <p>Zagreb – Croatia</p> <p>At the invitation of Center for the Study of Democracy in Croatia, a representative of the National Integrity Agency participated in the conference "Towards Shared Anti-Corruption and Good Governance Solutions in Southeast Europe", from 7 to 8 June as well at the summer school organised by The Regional Good Governance</p>

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
								<p>Public-Private Partnership Platform (R2G4P).</p> <p>Paris – France</p> <p>The President of ANI participated in the launch conference of the European Network for Public Ethics (ENPE), organised by the Haute Autorité pour la transparence de la vie publique from France on 8-10 June.</p> <p>During the event, the Declaration of the founding members of the European Network for Public Ethics (ENPE) was signed.</p> <p>La Valletta – Malta</p> <p>At the invitation of the Commissioner for Standards in Public Life in Malta, the President of ANI, participated on 11 July in the Standards in Public Life Conference: Valletta Forum 2022. The conference was organised by the European Commission and the Organisation for</p>

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
								<p>Economic Cooperation and Development (OCDE).</p> <p>Meeting ANI România – CNI Moldova</p> <p>The president of the National Integrity Agency and the General Secretary of the Agency has a meeting on 14th September with members of the Integrity Council of the Republic of Moldova. The Integrity Council is a representative body with supervisory powers over the work of the National Integrity Authority of the Republic of Moldova. Discussions were focused on practical aspects of ensuring public integrity and the legal framework on conflict of interest, incompatibilities and unjustified wealth, the work of integrity inspectors in assessing integrity incidents, and the e-DAI system for</p>

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
								<p>electronic declaration of assets and interests.</p> <p>Official delegation High Inspectorate of Declaration and Audit of Assets and Conflict of Interests (HIDAACI) – Albania</p> <p>From 21 to 22 September the National Integrity Agency hosted the study visit of the official delegation on High Inspectorate of Declaration, and Audit of Assets and Conflict of Interest of Albania (HIDAACI). The visit was arranged following the meeting of the President of ANI with E.S. Mr. Ilir TEPELENA, Ambassador of Albania in Romania, which took place in May 2022. With the occasion of the visit, the President of ANI and the General Inspector of the High Commission for the Declaration and Audit of Assets and Conflicts of Interest of Albania (HIDAACI), signed a Memorandum of Understanding between the</p>

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
								<p>two institutions. According to the memorandum, the parties will collaborate on prevention raising awareness and fostering international cooperation through the exchange of knowledge, expertise and best practices on common areas of interest.</p> <p><i>The official visit of a delegation from Bulgaria, composed of representatives of institutions working in the field of anti-corruption and integrity.</i></p> <p>On 27th September 2022, a delegation from Bulgaria paid a study visit to the headquarters of the National Integrity Agency. The delegation consisted of representatives of the Ministry of Justice, the Ministry of Interior, the Prosecutor's Office, the General Inspectorate of the Council of Ministers, the Commission for Combating Corruption and Confiscation</p>

Objective	Generating source	Desiderate	Deliverable	Risks	Financial resources	Responsible	Deadline	Implementation Status 31.12.2022
								<p>of Illegal Assets (CACIAF), as well as representatives of Training& Research Point, an NGO specialized in organized crime and corruption issues. On this occasion, the institutional framework and competences of the Agency in the field of preventing and combating corruption by administrative means were presented, as well as common aspects of the integrity framework of the two neighboring countries. During the working visit to Bucharest the Bulgarian delegation also visited other anti-corruption institutions in Romania, such as the Ministry of Justice, the General Anticorruption Directorate and the National Anticorruption Directorate.</p> <p>Luxemburg – Austria</p> <p>As a member of the Board of Governors of the International Anti-Corruption Academy (IACA), the General Secretary of ANI, attended on</p>

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								<p>27th September 2022 in the IACA Governing Body meeting held in Luxemburg Austria.</p> <p><i>Interview with journalists from Serbia</i></p> <p>On 13 October two representatives of the Agency were visited by a delegation of journalists from Serbia. In this context, ANI representatives, presented Romania's development as a member of the European Union, as well as Romania's experience in fighting corruption from the perspective of the National Integrity Agency. The visit of the journalists from Serbia included discussions with Romanian Officials from relevant institutions and think tanks, the aim being to visit some of the objectives/ facilities that have been benefited from European</p>

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								<p>funds and to present the advantages of Romania's membership in the European Union on the 15th anniversary of accession, as well as the importance of simulating internal reforms for the integration of Serbia into the EU.</p> <p>Workshop with the National Integrity Authority of the Republic of Moldova</p> <p>At the initiative of the American Bar Association - Rule of Law Initiative (ABA ROLI) Moldova, two representatives of the Agency participated in an online workshop with counterparts from the National Integrity Authority of the Republic of Moldova from 3 to 4 November. On this occasion, ANI representatives provided transfer of expertise and best</p>

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								<p>practices to their counterparts from ANI Moldova.</p> <p>Study visits of two delegations from the Republic of Moldova</p> <p>On 6-7 December and 13-14 December, the Agency was visited by two delegations of the National Integrity Authority of the Republic of Moldova, each of them consisting of 10 representatives. On this occasion, the Agency's experts participated in a series of study and training meetings with representatives of the ANI Moldova, ensuring the transfer of expertise and best practices to their counterparts from Republic of Moldova.</p>
O31 – Agency involvement in official assistance projects for developing countries	Law no. 213/2016 on international development cooperation and humanitarian	Providing Assistance to developing countries on the Organisation for Economic Co-	No. of education and training activities dedicated to developing countries	Insufficient human and budgetary resources	ANI Budget	CPRD	Permanent	<p>Implemented</p> <p>During 2022, the National Integrity Agency carried out 8 activities constituting official assistance to developing countries. Thus, the Agency</p>

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	assistance, as amended and supplemented	operation and development/ Development Assistance Committee (OECD/DAC) list Maintaining dialogue with the Ministry of Foreign Affairs		Restrictions imposed by the COVID-19 pandemic Lack of responsiveness of authorities in developing countries				<p>organised study visits to institutions with similar competences to the Agency in Mongolia, Armenia, Albania, Republic of Moldova, Albania and Serbia.</p> <p>Independent Authority Against Corruption (Mongolia)</p> <p>On 14 January 2022, ANI received the official delegation of the Independent Authority Against Corruption of Mongolia. The delegation of the Independent Authority Against Corruption of Mongolia consisted of 7 representatives. During the meeting, topics of interest for the work of the two institutions were discussed.</p> <p>Reception of the official delegation from the Republic of Armenia</p> <p>At the invitation of Expert Forum Romania, the organizer of the visit, the National Integrity Agency</p>

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								<p>received on 3rd May 2022, a delegation from the Republic of Armenia consisting of eight representatives of civil society and anti-corruption institutions. The members of the Armenian delegation participated in discussions with the Agency's staff regarding the work of ANI.</p> <p>Meeting Ani Romania – ANI Moldova</p> <p>The President of ANI and the General Secretary of the Agency met on 14 September with members of the Integrity Council of the republic of Moldova. The integrity Council is a representative body with supervisory powers over the work of the National Integrity Authority of the Republic of Moldova. The discussions focused of ensuring public integrity and the legal framework on conflicts of interest, incompatibilities and unjustified assets, the work of integrity inspectors in</p>

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								<p>assessing integrity incidents, and the e-DAI system for electronic declaration of assets and interest. The meeting was organised in the framework of the project "Strengthening the rule of law and anti-corruption mechanisms in the Republic of Moldova", implemented by the German International Cooperation Agency (GIZ) and co-financed by the European Union and the German Federal Ministry for Economic Cooperation and Development (BMZ).</p> <p>This action is part of the general framework of support provided by the National Integrity Agency to partners in the Republic of Moldova, in the context of the Support Platform for the Republic of Moldova, launched in Berlin in April 2022 by Romania, Germany and France.</p> <p>Official Delegation High Inspectorate of Declaration</p>

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								<p>and Audit of Assets and Conflict of Interests (HIDAACI) – Albania</p> <p>From 21 to 2022 September the National Integrity Agency hosted the study visit of the official delegation of the High Commission for the Declaration and Audit of Assets and Conflict of Interest of Albania (HIDAACI). The visit was established following the meeting of the President of ANI with E.S. Mr. Ilir TEPELENA, Ambassador of Albania to Romania which took place in May 2022. On the occasion of the visit, the President of the National Integrity Agency and the Inspector General of the High Commission for the Declaration and Audit of Assets and Conflicts of Interest of Albania (HIDAACI) signed a Memorandum of Understanding between the two institutions. According to the memorandum, the parties will collaborate on prevention, raising awareness</p>

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								<p>and fostering international cooperation through the exchange of knowledge, expertise, and best practices on common areas of interest.</p> <p><i>Official visit of a delegation from Bulgaria, composed of representatives of institutions in the field of anti-corruption and integrity</i></p> <p>On 27 September 2022, a delegation from Bulgaria paid a study visit to the National Integrity Agency. The delegation consisted of representatives of the Ministry of Justice, the Ministry of Interior, the Prosecutor's Office, the General Inspectorate of the Council of Ministers, the Commission for Combating Corruption and Confiscation of Illegal Assets (CACIAF), as well as representatives of Training & Research Point, an NGO specialized in organized crime and corruption issues.</p>

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								<p>On this occasion, the institutional framework and competences of the Agency in the field of preventing and combating corruption by administrative means were presented as well as common aspects of the integrity framework of the two neighboring countries. During the working visit to Bucharest, the Bulgarian delegation also visited other anti-corruption institutions in Romania, such as the Ministry of Justice, the General Anticorruption Directorate and the National Anticorruption Directorate.</p> <p><i>Interview with journalists from Serbia</i></p> <p>On 13 October, two representatives of the Agency were visited by a delegation of journalists from Serbia. In this context, ANI representatives presented Romania's development as a member of the European Union, as well as Romania's</p>

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								<p>experience in fighting corruption from the perspective of the National integrity Agency. The visit of the journalists from Serbia included discussions with Romanian officials from relevant institutions and think tanks, the aim being to visit some of the objectives/facilities that have benefited from European funds and to present the advantages of Romania's membership in the European Union on the 15th anniversary of accession, as well as the importance of simulating internal reforms for the integration of Serbia into the EU.</p> <p>Workshop with the National Integrity Authority of the Republic of Moldova</p> <p>At the initiative of the American Bar Association – Rule of Law Initiative (ABA ROLI) Moldova, two representatives of the Agency</p>

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								<p>participated in an online workshop with counterparts from the National Integrity Authority of the Republic of Moldova from 3 to 4 November.</p> <p>On this occasion ANI representatives provided transfer of expertise and best practices to their counterparts from ANI Moldova.</p> <p>Study visits of two delegations from Republic of Moldova</p> <p>From 6 to 7 december and 13 to 14 December the Agency was visited by two delegations of the National Integrity Authority of the Republic of Moldova, each of them consisting of 10 representatives. On this occasion, the Agency's experts participated in a series of study and training meetings with the representatives of ANI Moldova, ensuring the transfer of expertise and best</p>

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								<p>practices to their Moldovan counterparts. The study visits were organised in the framework of the project "Strengthening the rule of law and anti-corruption mechanisms in the Republic of Moldova", implemented by the German International Cooperation Agency (GIZ) and co-financed by the European Union and the German Federal Ministry for Economic Cooperation and Development (BMZ).</p> <p>These actions were part of the general framework of support provided by the National Integrity Agency to partners in the Republic of Moldova in the context of the Support Platform for the Republic of Moldova, launched in Berlin in April 2022 by Romania, Germany and France.</p> <p>Also, at the beginning of 2022, ANI sent to the Ministry of Foreign Affairs the list of activities in which official assistance was granted to</p>

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								developing countries at the level of 2022.



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