

## SUMMARY

### *Research question and approach*

Within the different departments of the ministry for safety and justice several types of impact assessments are used. To gain more insights into these different types the WODC commissioned APE to do an analysis. The main research question of this study is as follows: "*Which types of impact assessments are used by the ministry of safety and justice? What are the differences and similarities between them, and is it both possible and desirable to integrate them into one standardized approach?*". Here we report the first part of the research question, the question of desirability and feasibility of integration is not touched upon.

In order to capture a detailed picture of the different impact assessments performed by organizations within the justice system, we started by collecting research reports from several departments and implementing organisations, which we contacted by telephone. This exercise provided 26 useable research reports for our analysis (see APPENDIX 2). On the basis of this inventory we selected the three most common research forms. These research forms were analysed further by conducting interviews (see APPENDIX 3).

### *Types of impact assessments*

The following table specifies the three most common research forms used by organisations in the justice and safety chain.

<b>Research design</b>	<b>organisation</b>	<b>number</b>
System dynamics and group model building (SD & GMB)	Significant and SMS	8
Impact analysis in law enforcement	AEF	5
Ex-ante implementation test (EAUT)	INDIAC	9

The three organisations largely work in separate fields within the justice and safety chain. AEF conducted five studies in the study period (2010-2012) for the Directory General (DG) of Police, the DG also did impact assessments on the basis of a manual developed by AEF. In total the DG commissioned ten impact assessments in the study period. The EAUT (performed by INDIAC) is used in the immigration chain. The principle Directory General is the DG Immigration, which commissioned nine studies in the period under consideration. Only the SD & GMB (Significant/SMS) research form is used by different DG's, namely the DG Justice and Law Enforcement (4 analyses) and the DG Youth and Sanction Application (3 analyses). This research form is mainly used for analyses covering the entire criminal law system.

### *Differences and similarities in design*

The three research forms have several similarities. Because of the type of research question, all of them rely heavily on expert opinions regarding the expected impact, because data is not usually available. Each research design also uses existing literature and data sources whenever possible and the expected impact is estimated in a mathematical model. The outcomes of these models are then presented in a research report.

The research forms differ from each other on the following four points:

- Reach (depth and width of the analysis);
- Implementation (internal, external or mixed);
- Expert opinions (selection, interviews, number of meetings);
- Estimation method (number of variables, method of calculations).

The research form 'system dynamics and group model building' (SD & GMB) of Significant/SMS usually covers more than one link in the justice and safety chain and is therefore broad in scope. The implementation of this research form is mixed, Significant is a consultancy firm and the SMS-team is an internal team of the ministry of safety and justice.<sup>1</sup> In this research form between three and five expert meetings are organised, for which two experts are selected per organisation. Before the first expert meeting the experts are interviewed in a one-on-one setting. For the estimation of the expected impact a large number of variables is used, of which ten to fifteen variables play a key role.

The impact assessment in the field of the police concentrates on just one link in the justice and safety chain and provides a detailed analysis of the workflow. The assessments are implemented by the external consultancy firm, AEF. Between three and five expert meetings are organised for which the selection criteria for the experts are decided on a case-by-case basis. Prior to the meetings the experts are interviewed using the DEPLHI method. The calculations are done using a simple model using the P\*Q method.

The EAUT is implemented internally using a standardised questionnaire, and analyses the impact on the workload for different links in the chain. Here the consequences for human resources, technology and the organisation are all considered in the assessment. On average two expert meetings are organised for which there are no specific selection criteria for the experts. The calculations are made by controllers at the IND and fixed standards are used for costs/time of products and processes in the workflow.

### *Differences and similarities in use*

The research forms are used in different stages of policy making. According to those interviewed the research form SD & GMB is well-suited to assess new legislation and regulations in an early stage for different links in the chain, whereas the impact analysis of

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<sup>1</sup> SMS stands for *Simulatiemodellen Strafrechtketen* (Simulation Models Criminal Justice Chain). The SMS-team has a fixed partnership (on the basis of a framework contract) with Significant.

the AEF is better-suited to get a detailed picture of the impact on a specific department in the later stages of policy making.

The impact assessments provide the ordering department an indication of the impact of new legislation on the organisations in question. They can use this indication to organise the workflow or in the design of new policy. In addition the impact assessments create support for new legislation and regulations amongst organisations in the chain.

#### *Assessments for multiple links in the chain*

Two out of the three research forms are used for assessments of more than one link in the chain. As stated above, the interviewees regard the research form SD & GMB as well-suited for this type of analysis, because the chain process affected by new policy is mapped well using system dynamics. According to those interviewed it is important to be able to compare data sources of different links in the chain. It is also important that the assumptions of chain partners are checked and that they are consistent.

#### *Conclusions*

Concerning the main research questions we can determine that three research forms are frequently used within the ministry of safety and justice. There are similarities in the outline of the three forms. Because of the ex-ante character of the assessment, the research forms rely on expert opinions. Furthermore estimations are made of the expected impact on the basis of expert assumptions and available data sources. However there are also a number of differences. These differences contain differences in implementation (internal, external, mixed), the selection criteria and interview methods of experts, calculations (number of variables, depth of the process) and whether the estimated impact is calculated for one or for multiple links in the chain.