



**IECEE OD-G-2062**

Edition 1.0 2017-05-17

# **IECEE OPERATIONAL DOCUMENT**

**IEC System of Conformity Assessment Schemes for Electrotechnical Equipment and Components (IECEE System)**

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**Guideline for IECEE Market Impact Analysis/Business Case for New and Existing IECEE Services**





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## FOREWORD

**Document Owner**

PSC WG 1 “Strategy”

**History of changes**

<b>Date</b>	<b>Brief summary of changes</b>
2017-03-06	N/A, as first edition

<b>Effective date</b>	<b>Target revision date</b>
2017-05-17	2020-05-17

## INTRODUCTION

This document provides Guideline for a Market Impact Analysis/Business Case for analysing new and existing services within the IECEE System.

A thorough understanding of the IECEE System and its services is essential. Depending on the needs of the IECEE System, the analysis of new and existing services may include the component, product, and/or system level, and their compatibility with the IECEE System.

Note: The term “services” used in this document also applies to IECEE “programs”. These two terms are considered synonymous.

The CMC approves conceptual proposals for the development of new services or the removal of existing services and assigns them to the PSC. The PSC establishes a PSC Working Group or Task Force to develop the initial concept and to prepare a Market Impact Analysis/Business Case and the recommended service parameters for approval by the CMC and by the IEC CAB.

Following the CMC and CAB approvals, the working group or task force is transferred from the PSC to the CMC for the development of future operational materials and for service implementation.

To provide efficient and timely development and implementation processes, approval by correspondence should be utilized wherever possible.

### 1 Scope

This Guideline primarily applies to all new proposed IECEE services. New IECEE services may be considered to be new product categories, schemes, or proposed scope extension of the IECEE System into a new area or field of activity, e.g. new category or new scheme. It is also intended to be used for the review of existing services within the IECEE System.

### 2 Establishment of a new PSC Working Group (WG) or Task Force (TF)

The PSC may establish new working groups or task forces to develop new, or evaluate existing, IECEE System services.

The PSC working group’s or task group’s role is to engage experts identified/nominated by IECEE Member Bodies, identify the relevant stakeholders, and define the general architecture and parameters of the service to be addressed.

It is expected that all WG or TF members are available and fully committed for the planned duration of the assignment to support the agreed upon timelines, have ongoing support of their organizations. Subject matter experts, e.g. TC representatives or other experts, may be invited to participate by the convener as needed.

All identified issues and concerns are expected to be identified as soon as possible to ensure rapid resolution.

#### 2.1 Establishment of new IECEE Services

A proposal for the establishment of new IECEE services (including scope extensions) shall include the following information:

- Market needs, market relevance and business drivers;
- Market entry barriers, such as
  - a) schemes already implemented in other IEC CA Systems,
  - b) lack of applicable standards, or
  - c) lack of regulatory drivers in a Country or Region

- Identification of standards, specifications or requirements as a basis for conformity assessment;
- Regulatory demands or other requirements in countries or regions;
- Related work or other valuable information from other organizations or Industries;
- Identification of existing IEC CA Systems or schemes working in this, or related, field (if applicable);
- Identification of relevant IEC technical committee(s);
- Identification of stakeholders, such as
  - a) Manufacturers
  - b) Industry associations (including those that represent SMEs, retailers, distributors, and those related to import and export)
  - c) Conformity assessment bodies
  - d) Governmental bodies/regulators that control market access
  - e) Insurers
  - f) Financial institutions
  - g) Standards development organizations, e.g. IEC, ISO, ITU, etc.
  - h) Academia
  - i) fora and consortia outside of IEC which should be engaged in the work;
- Recommendation of needed expertise and administrative structure;
- Proposal for an appropriate name of the new service;

## **2.2 Removal of Existing IECEE Services**

A proposal for the removal of existing services shall include the following information:

- Review of the current service with respect to utilization, market and regulatory demand, and costs;
- Related work or other valuable information from other organizations or Industries;
- Identification of other IEC CA System/schemes operating in the same or related field (if applicable) which may be impacted by the removal of the service;
- IEC CO recommendations
- Stakeholder recommendations
- An analysis of the Risk Exposure for the IEC, other IEC CA Systems, and the IECEE (both of taking action and of not taking action).

## **2.3 Tasks of the PSC WG or TF for New Services**

The principal tasks of a PSC WG or TF are to evaluate the CA needs of the market, develop the proposed framework (in accordance with Annex A) and make recommendations to the PSC. This entails the examination of the following factors:

- Demands/drivers (e.g., regulatory, financial or other requirements) in countries, regions or industries;
- IECEE market needs, market relevance and business drivers;
  - identify possible IECEE services needed,
  - assess the financial viability of the proposed new service
  - identify the framework in which those services should apply, and
  - identify the existing operational documents that may be utilized or if new ODs may be required.

NOTE: It is not the intention of this group to develop such documents.

- Gap analysis of the following
  - existence of relevant IEC standards or if other standards or specifications are suitable for the IECEE,
  - existing IEC CA System offerings in this or related areas.
- An analysis of the Risk Exposure for the IEC and the IECEE (both of taking action and of not taking action).
- Compliance with the IEC, CAB and IECEE policies.

The following deliverables/outcomes would be expected;

- Creation of a market impact analysis and business case as per the Business Case Template for New Services included in Annex B;
- Identification of standards or specifications that are considered the primary standards to be used under the new service. Relevant standards may cover multiple attributes such as Safety, Performance, Efficiency, Functional Safety, Security, etc. The identification will also include future standards currently under development.
- Completion of a conceptual service framework and parameters including the description, structure, scope, customers, etc.

It is expected that status reports are presented to the PSC after each WG or TF meeting and at each PSC meeting. The PSC will determine the time given to each WG or TF to complete the tasks and oversees the ongoing activities of the PSC WG or TF.

WG or TF members are expected to commit sufficient time and resources to progress this activity as required.

## Annex A - New Service Framework

The PSC WG or TF will develop the conceptual framework of the new service with input and validation from some of the identified stakeholders. Specific items to be considered are:

New Service Framework				
Stages/ Phases	Applicable Standards	Outcomes/ Certifications	Procedural Documents	Risk Exposure

- **Stages/Phases** – This will include an analysis and definition of the various steps which may include initial and future offerings.
- **Applicable Standards** – This is intended to document the specific available IEC or other standards/specifications that may be used at the specific stages.
- **Outcomes/Certifications** – This will include the determination of the specific marketplace needs for IECEE services and the types of service offerings such as certification, STR, assessments, training, etc.
- **Procedural Documents** – This will include a determination of the documentation needs for the specific IECEE service and will identify any gaps compared to the existing IECEE documents such as necessary rules, guidelines, operational documents, checklists or templates for use in the proposed IECEE service.
- **Risk Exposure for the IEC and IECEE** – Does this activity expose IEC or IECEE to a greater level of risk to that which IEC or IECEE is already exposed and covered.



## **Annex B - Business Case Template for New Services**

### **B.1 Introduction**

This document defines the project and provides a baseline from which the Business Case is managed and variations are tracked.

### **B.2 Document Structure**

This document is segmented into the following areas:

- Introduction
- Assumptions, Constraints, Interdependencies
- Business Goals/Objectives and Project Overview
- Market Analysis/Scope and Expectations
- Service Deliverables
- Operational Strategy
- Financial Aspects

This is a living document that will be updated throughout the duration of the project.

### **B.3 Intended Audience**

This Business Case is intended for all parties who have a vested interest in the [new service] for use in the IECEE System:

- a) Working Group members who have a commitment to the tasks and deliverables within the timeframe(s) indicated.
- b) IEC Managers of other programmes/projects or areas that are impacted by this [new service].
- c) All stakeholders (as listed in Appendix B) and other representatives from IECEE Working Groups.

### **B.4 Assumptions, Constraints, Interdependencies**

#### **B.4.1 Assumptions**

Following are examples of typical considerations:

- Market, regulatory, and stakeholder demands
- Economic conditions
- Member participation interest

#### **B.4.2 Constraints**

Following are examples of typical considerations:

- Financial concerns
- IT and HR resources of the Secretariat
- Members' capabilities
- Market entry barriers, such as
  - schemes already implemented in other IEC CA Systems,
  - lack of applicable standards, or
  - lack of regulatory drivers in a Country or Region

### **B.4.3 Interdependencies or Commonalities**

This section outlines any direct dependencies or commonalities between this [new service] and any other existing or proposed new service within the IECEE or other IEC CA Systems.

### **B.5 Business Goals/Objectives Overview**

To introduce the [new service] into the IECEE as a basis for expanded market access in the proposed area and to fulfill market and unique operational needs. The [new service] is intended to;

[Short description of the new service including why the new service is needed, outcomes, etc.]

### **B.6 Benefits**

The intent and focus for this [new service] is to provide the following benefits for the various stakeholders;

Examples

- Access to global markets
- Increased business
- Risk minimization
- Investment optimization
- Time to market
- Cost reduction, etc.
- Simplification of processes
- Provides a platform to progressively support global recognition/acceptance
- Sharing of expertise, knowledge, and tools to enhance mutual confidence
- Reputation of the IECEE System to leverage expanded market access mechanisms in both developing and established economies
- Etc.

### **B.7 Market Analysis/Scope and Expectations**

This section should identify the [new service] market including the identification of the players, trends, technologies, needs, geographical situations, impacts to trade, etc. This section should also identify existing competition from other International non-IEC schemes.

The section should include the expected market situations following initial launch of the new service as well as the projected growth of the new service.

### **B.8 Service Deliverables**

This section will identify any intended deliverables from the new service to be offered. Examples of deliverables may include:

- Certificate\* (product, process, system, personnel)
- STR\*
- Inspection report\*
- Training, e.g. new service specific, personnel competency
- Other

\* Noted deliverables may be supported by a test or assessment report.

**B.9 Operational Strategy**

This section could cover operational aspects for the new service to be offered such as:

- Future expansion
- Phased implementation
- Needed documentation, procedures, rules, standards
- Other considerations necessary for implementation

**B.10 Key Stakeholders**

This section will identify the major stakeholders who have interest and their potential relationship with the new service. Stakeholders could include those operating or using the new service and the parties accepting/recognizing the service deliverables. Examples of major stakeholders are:

- End users/customers/retailers
- Members of IEC TC's and its subcommittees,
- Members of the other IECEE WG's.
- IEC CAB
- IECEE Member Bodies
- Global Industry Stakeholders
- Governmental authorities
- IECEE Member Certification Bodies/Test Laboratories
- International Organizations i.e. UNECE, WTO, ITU, ISO
- Other IEC CA Systems
- Other

**B.11 Timeframe**

This section will provide expectations and recommendations related to the timing of development and implementation of the new service.

**B.12 Risk Assessment**

This section will identify potential risks of offering the new service and develop a Risk Table. Risks will be tracked using the following Risk Table with the following details: the identified risk, its potential impact, probability, mitigation strategy.

Outlined below is the intended format of the Risk Table that should be used.

Risk	Impact (H/M/L)	Probability (H/M/L)	Potential Mitigation Strategy

Note: Refer also to the CAB Risk Management Grid, IEC CAB-RMG01, for additional information.

### **B.13 Financial Aspects**

This section will provide an overview of estimated new service costs, volume of deliverables, and potential new revenue streams. Examples of costs and revenues are as follows:

- New external costs
- IECEE Secretariat costs
- Promotional costs
- External funding revenue
- Projected number of certificates in the first year and in a five year outlook
- Other

### **B.14 Recommended Service Parameters**

This section will provide key parameters related to the launch of the new service. Following are examples of typical service parameters:

- Timelines for development and launch
- Anticipated number of deliverables (certificates, etc.) issued and timing
- Expected development and launch of future phases
- Required resources, e.g. Secretariat, technical experts, IT, HR, etc.
- Limitation of new service offerings under the scope of the IECEE

### **B.15 Appendix A – List of Relevant Standards or Specifications**

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