



UTMC Development Group

Product compliance and the use of the UTMC logo

Version 1.1

UDG Secretariat

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1 This document

This document has been produced under the Urban Traffic Management and Control (UTMC) initiative. It presents the policy and procedures to be adopted in respect of:

- claims that a product is “compliant”;
- the maintenance of the UTMC Product Register;
- the permitted use of the UTMC logo.

This document has been produced by the UTMC Secretariat on behalf of the Department for Transport (DfT) and the UTMC Development Group (UDG) Management Group, with advice from the UDG Specifications and Standards Group (S&SG) and the UTMC Suppliers Forum (USF). It reflects the Principles agreed by the Joint Chairs Group.

2 Status

This note documents and clarifies the policy that is currently in force, following extended (successful) operation of a draft policy.

This version has been ratified by the S&SG and UDG MG. This version of the procedure is therefore **currently in operation**.

3 Principles

The value of UTMC lies in the fact that it represents a consensus position of technical good practice, which is accepted by the majority of purchasers and suppliers of traffic management systems. For this to be meaningful, it is essential that:

- Purchasers know what they need to buy to receive the benefits of UTMC
- Suppliers can put their message across clearly to potential purchasers

The means by which this is achieved is by compliance assessment, certification and marking.

The greater the independent verification of claims, and the more stringent the policing, the greater the confidence that purchasers and suppliers can have in the value of the claim.

4 Compliance in the UTMC Technical Specification

The Framework Technical Specification TS003:2005 states that:

The primary intention of UTMC Technical Specification is to facilitate the interoperability of modules in a Traffic Management System, and between such systems and external parties. In this regard:

- *A specific interface in a Traffic Management System may claim to be a “UTMC compliant interface” if all communications across it are conducted using the technical standards of TS003:2005 sections 4-8, conveying only registered UTMC data objects as listed in TS004.*
- *An interface may claim to be an “extended UTMC compliant interface” if it uses the technical standards of TS003, and the data it conveys are in the structure of registered UTMC data objects wherever they are available.*

Products may have a number of interfaces, and a Traffic Management System may be constructed from a number of Products configured in a particular way. It will not always be necessary or efficient for all of these interfaces to be UTMC compliant interfaces, in order to meet the primary goals of facilitating interoperability. Thus, the “UTMC compliance” of a Product or System is not a simple yes-or-no property.

Nevertheless, it is recognised that suppliers and traffic managers would value the ability for Products and Systems to be assessed against the UTMC Specifications and, if appropriate, their compliance recognised. To this end, the Department for Transport is currently working towards the establishment of a suitable monitoring and assessment regime for Products and Systems.

This policy document describes the current version of this “monitoring and assessment regime”.

5 The role of UTMC compliance in procurement

The purpose of the UTMC initiative is to make it simpler, cheaper, less risky and more robust for users to develop integrated transport management systems. Technical compliance is one aspect of this – but it is only a tool, not the goal.

When a user acquires a system, they want it to do what they asked it to – that is, to comply with the procurement specification, which will make statements about functionality, performance, integration, maintenance and support, etc. UTMC compliance is only a small part of this.

A procurement would normally be expected to:

- Describe the architecture of the system, including the place taken by the component(s) being procured.
- Describe the functional and performance characteristics of the component(s) being procured.
- Describe what level of UTMC compliance is expected of each component interface.
- State whose responsibility it is to ensure successful component testing and integration testing.
- State how much flexibility may be exercised in all of the above.

With relevant statutory exemptions such as the Sale of Goods Acts, the rule of *caveat emptor* (buyer beware) is a good starting point. Users that specify the systems they wish to buy are responsible for ensuring their requirements are fulfilled. Where compliance with a standard or specification is required, the buyer needs to decide how important it is for compliance to be “proved”.

Because UTMC compliance is self certified, compliance claims are based on a development and testing regime chosen by individual system developers/suppliers. Other parties (including actual or potential buyers) are free to seek to negotiate enhanced or additional testing, either as a precondition of procurement or as a priced option.

Claims of compliance to technical standards or specifications do not exonerate any need for stakeholders to comply with other standards and regulations. It is the responsibility of those developing standards and specifications to ensure that their output does not generate conflicts.

6 Compliance management within UTMC – an overview

It is up to product developers/suppliers to choose whether to make and underwrite claims for the technical compliance of their own products; that is, UTMC compliance management is on the basis of “self-certification”.

Testing may be done “in-house” by a developer/supplier, or externally by a third party. The testing authority must explicitly underwrite the claim of compliance by reference to the testing.

The UDG will hold a Register of products for which compliance has been claimed by their developers/suppliers. This is purely as an information service to members. The appearance of any product on this Register does not imply any approval or underwriting by the UDG; nor does it guarantee that the developer/supplier still claims compliance for that product.

The UDG will however seek to ensure that entries in the Register are clear and not misleading. Developers/suppliers may be required to clarify submission prior to inclusion on the Register. Until the UDG is satisfied with the clarity of a submission, it will not be entitled to be registered.

All product entries in the Register will include contact details of the developer/supplier. Users of the Register will still need to refer to the vendor for confirmation that the product is still available, and that compliance is still claimed.

7 Advertising compliance

A supplier’s claim that his product is “UTMC compliant” will be a matter for him, and simple verbal claims of this sort will not normally be sought and challenged by the UDG. It is a matter for potential buyers of the product to satisfy themselves of the merits of this claim, in particular by looking for:

- whether the product is registered in the UTMC Product Register – in which case there will some detail available on what this compliance claim covers;

- whether the product bears the “UTMC compliant” logo – which implies that the claim of compliance covers all the principle interfaces in a way which follows UTMC principles.

Certain products may be advertised as “UTMC compliant”, including with the use of the UTMC logo in its compliance configuration:



Use of this configuration is subject to an ‘Individual Licence’ (as distinct from the ‘Class Licence’ for use of the UTMC logo where no compliance claim is being made – see annex A). Responsibility for granting Individual Licences is delegated by the UDG to its Specifications and Standards Group (S&SG).

Not all products included in the Product Register are entitled to this. The only products which will be granted an individual licence are those which allow all data exchange to be conducted over interfaces which are compliant or extended compliant with TS003:2005 and TS004.002:2005.

For ease of reference, products with an associated Individual Licence will be explicitly distinguished in the Product Register.

The use of this Individual Licence must abide by the following rules:

- This logo configuration must be clearly associated with a specific product or family of products which is registered in the current published version of the UTMC Product Register. The entry in the Register must have a clear description of which interfaces of the product are compliant, and how (ie statement of communications standards used, statement of data objects supported, and if appropriate a statement of where used in a live UTMC system).
- The S&SG may request supporting information prior to the award of an Individual Licence to ensure that the product in question justifies the mark. It is expected that the mark will only be awarded when all of the principal interfaces of a product have been constructed and tested in line with UTMC Technical Specifications, as described in Clause 4 of this policy.

- The licence is granted as a positive act; it is not automatic on a product's acceptance into the Register. The logo configuration cannot be used before explicit authorisation is given by the UDG Secretariat on behalf of the UDG. Usage must cease as soon as practicable on instruction from the UDG Secretariat, such instruction not to be given unreasonably.

For the avoidance of doubt, all claims of UTMC compliance are self-certified by the product developer/supplier. The accuracy of these claims is not independently verified by the UDG.

8 Procedure for product registration

Initiation

Any organisation may submit a product for entry onto the Register, provided they have the appropriate authority. Basic information must be provided regarding the product's use of the UTMC Technical Specification.

It is the responsibility of the submitter to ensure, where necessary, that submissions are updated in line with developments in any given product line. This will ensure that the current product line is accurately registered.

Submission

Submissions may be made at any time. They should be made electronically, normally using the current proforma.

Submissions should be sent to the UTMC Technical Secretary:

Confirmation of receipt of submissions will be provided. Provided the submission follows the rules above it will be progressed. Where information is obviously missing or unclear, the Technical Secretary might ask the proposer to consider a redraft. However he may not block or delay consideration of the submission.

S&SG stage

The S&SG is the body charged with control over the Product Register and the issue of Individual Licences.

For a product intended for inclusion in the Register only, the S&SG will take a fairly lightweight approach to review, essentially to see that the submission proforma is clear and complete.

Where an Individual Licence is being applied for, a more rigorous examination of the evidence supplied will be undertaken, for instance to ensure that the supplier has not inadvertently overlooked potentially relevant elements of the Technical Specification.

Register update

Once the product proforma has been accepted, it will be included in the Product Register and made available to the public.

At present the Product Register is simple Microsoft™ Word™ document. However the structure, operation and presentation of the Product Register is currently under review, and this is likely to move to a more flexible and accessible system within the next few months.

Individual Licence revocation

Once a product has been awarded an Individual Licence, policing is by exception: that is, if evidence is presented that the claim was false or misleading, the UDG can require its retraction.

Revocation of a licence is a serious matter and is only taken after authorisation by the UDG Management Group. As an interim step, a licence may be suspended by the agreement of the Chairs of the S&SG and the UDG MG, who will normally consult both the licence-holder and colleagues within their groups before acting.

Intention to suspend or revoke a licence shall be notified formally to the licence-holder before any further steps are taken. Once this notification is given, the UDG will mark the product as suspended in the Product Register.

On revocation of a licence the licence-holder will be expected to take steps to remove all occurrences of the mark. Under suspension the licence-holder need not withdraw product literature, but is advised to make this suspension clear to potential customers, to avoid being regarded as guilty of fraudulent misrepresentation.

Prior to revocation, the licence-holder will be given full opportunity to appeal and present the case for retaining the licence.

9 Complaints

Concerns about technical aspects should be addressed in the first instance to the Technical Secretary. Concerns about process should be addressed to the UDG Chair or the responsible DfT officer.

Annex A The UTMC logo

The UTMC logo has become familiar since its creation in the mid-1990s, and represents a national badge of quality. It was registered as a trademark in the name of the UTMC Development Group (through the UTMC Programme Manager Mouchel, now Mouchel Parkman) in July 2003.



The Mark has been registered in respect of Clause 42 – “Scientific and technological services and research and design relating thereto; design and development of computer hardware and software”. Pantone colours 293 (for the text and dot) and 658 (for the circle and arrows logo) are elements of the mark.

The UDG logo is regarded as incorporating the UTMC logo and is covered by the same rules.

In any usage of the UTMC logo, users may not make material changes to the style and layout of the logo. Reasonable adaptations include using logos of different sizes and page orientations, use of greyscale versions, or animations such as marquee or waving flag usage on websites. Unacceptable changes include recolouring, adopting a different font for the lettering, or stretching/skewing the logo or any part of it.

The UDG will make an electronic copy of the logo freely available.

The Patent Office advises trademark owners to register the terms of any licence issued, in order to provide protection of the licence-holder. This is not mandatory.

The UDG will not seek to register the class licence but will consider registering the use of the logo in the compliance configuration.

Class Licence for use of the UTMC logo

The UDG wishes to encourage the publicity of the UTMC initiative and sees widespread use of the logo as part of this. Accordingly any individual or body may make free use of the UTMC logo in contexts which indicate general support of the initiative, participation in the programme or in the UDG, or intention to adopt the UTMC approach in a product or delivery strategy.

This usage is subject to a ‘Class Licence’, ie permission is granted by default and no specific permission is required to make use of the UTMC logo in this way.

Class Licence usage excludes any context in which the impression is given that the user has gained approval for their UTMC activities, has achieved compliance of any products or systems, or has a unique insight into any area of UTMC.

Where the UDG becomes aware of a use of the logo, under the Class Licence, which it believes to be misleading, fraudulent or otherwise not in the interests of the UTMC initiative or the UDG, it reserves the right to require this usage to be ceased. The UDG undertakes to use this power in a fair and non-discriminatory way, and will publish its reasons for any such notice.

Annex B Contact points

The key contact points for this process are as follows (these may be subject to change from time to time):

David J Williams
Department for Transport
Great Minster House
76 Marsham St
London
SW1P 4DR
Tel: +44 (0)20 7944 2595
email: davidj.williams@dft.gsi.gov.uk

Ken Laughlin
UDG Chair
Monument House
5 Upper High Street
Winchester
Hampshire
SO23 8UT
Tel: +44 (0)1962 846893
email: ken.laughlin@hants.gov.uk

Derek Renaud
S&SG Chair
Chief Engineer, Development and Research
Directorate of Traffic Operations, Surface Transport
Transport for London
Windsor House
42-50 Victoria Street
London
SW1H 0TL
Tel: +44 (0)20 7126 2309
email: derekrenaud@streetmanagement.org.uk

Mark Cartwright
UTMC Technical Secretary
Centaur Consulting Limited
Surrey Technology Centre
Surrey Research Park
Guildford
Surrey, UK
GU2 7YG
Tel: +44 (0)1483 688272
Fax: +44 (0)1483 688271
email: mark.cartwright@centaurconsulting.co.uk