

COMPLIANCE TESTING PROGRAM

July 6, 2020

**NIJ CTP Product Conformity Assessment System
Document 606.1: General Requirements
Version 1.2**

This revision (1.2) reflects changes resulting from the conclusion of the former Justice Technology Information Center (JTIC) program on December 31, 2019, which previously hosted the NIJ CTP. The NIJ CTP has transitioned to, and is now hosted by, RTI International as part of the Criminal Justice Testing & Evaluation Consortium (CJTEC). Revisions in this document include:

- 1) All references to JTIC have been removed from the document.
- 2) Section 1: Introduction and Section 13: Revision History, have been updated and the format has been harmonized with other NIJ CTP Product Conformity Assessment System documents.
- 3) Annex A: Updates to document listing and numbering system.

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**NIJ CTP Product Conformity Assessment System:
General Requirements**

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Introduction

This document describes the general requirements of the National Institute of Justice Compliance Testing Program (NIJ CTP), a conformity assessment program operated by the National Institute of Justice (NIJ) to certify equipment used by criminal justice practitioners. Currently, the scope of the NIJ CTP includes ballistic-resistant body armor, stab-resistant body armor, and semiautomatic (autoloading) pistols for law enforcement. Participation in the NIJ CTP is voluntary for manufacturers of equipment, and use of informational products published by the NIJ CTP is voluntary for end users. NIJ is a bureau of the Office of Justice Programs, a component of the U.S. Department of Justice.

NIJ fosters development of equipment standards and related conformity assessment programs that specifically address the needs of law enforcement, corrections and other criminal justice agencies. The goal is to ensure to the degree possible that equipment is safe, reliable and performs according to established minimum requirements. Having a standard and associated conformity assessment program provides the end user with performance information on key equipment characteristics, provides a level of confidence in a product's fitness for use and allows comparison of products based on standardized testing methods and minimum performance requirements. More information on NIJ's standards and conformity assessment activities, please visit <https://nij.ojp.gov/topics/articles/nij-standards-and-conformity-assessment-program>.

NIJ CTP activities are described by the overarching requirements in this document as well as in subordinate product-specific schemes. Development of the NIJ CTP Product Conformity Assessment System is guided in part by ISO/IEC 17067, *Conformity Assessment – Fundamentals of product certification and guidelines for product certification schemes*. NIJ is the owner of the conformity assessment system as well as the subordinate product-specific schemes listed in Appendix A. Currently, NIJ funds the Criminal Justice Testing and Evaluation Consortium (CJTEC), operated by RTI International through a cooperative agreement, to administer the NIJ CTP in accordance with the NIJ CTP Product Conformity Assessment System and the subordinate product-specific schemes listed in Appendix A. Laboratory testing within the NIJ CTP is *only* performed by independent test laboratories recognized by NIJ as meeting specific requirements, including accreditation by the [National Voluntary Laboratory Accreditation Program \(NVLAP\)](#).

This document and the associated schemes follow International Organization for Standardization (ISO) conventions regarding the following verbal forms:

- *Shall* indicates a requirement.
- *Should* indicates a recommendation.
- *May* indicates a permission.
- *Can* indicates a possibility or a capability.

Information marked as **Note** provides guidelines for understanding or clarifying the associated paragraph.

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1 Scope

1.1 This system describes the general conformity assessment requirements of the National Institute of Justice Compliance Testing Program (NIJ CTP) for equipment used by criminal justice practitioners to be listed on [NIJ's Compliant Products List \(CPL\)](#).

1.2 This document provides the general requirements for all equipment assessed by the NIJ CTP and is written to be used in conjunction with subordinate scheme documents.

1.2.1 Subordinate scheme documents contain additional conformity assessment requirements applicable to specific product categories.

1.2.2 Although scheme requirements may add to the requirements of this system document, they shall not reduce them.

1.3 This product conformity assessment system is only for use by the NIJ CTP and is not open to any other product conformity assessment bodies.

1.4 This product conformity assessment system is open to all Applicants without regard to location.

1.5 NIJ reserves the right to decline Applicants the opportunity to participate when NIJ has determined that participation poses an unacceptable level of risk to the scheme's intent to provide confidence in the performance of criminal justice practitioners' equipment manufactured in compliance with this system.

2 References

The following publications are referenced in this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

2.1 ISO 9000:2015. *Quality management systems - Fundamentals and vocabulary*.

2.2 ISO/IEC 17000:2004. *Conformity assessment – Vocabulary and general principles*.

2.3 ISO/IEC 17011:2004. *Conformity assessment – General requirements for accreditation bodies accrediting conformity assessment bodies*.

2.4 ISO/IEC 17020:2012. *Conformity assessment - Requirements for the operation of various types of bodies performing inspection*.

2.5 ISO/IEC 17025:2005. *General requirements for the competence of testing and calibration laboratories*.

2.6 ISO/IEC 17065:2012. *Conformity assessment - Requirements for bodies certifying products, processes and services*.

2.7 ISO/IEC 17067:2013. *Conformity Assessment – Fundamentals of product certification and guidelines for product certification schemes*.

3 Terms and Definitions

If not defined here, the terms and definitions given in ISO/IEC 17065, ISO/IEC 17020, ISO/IEC 17000 or ISO 9000 shall apply in that order of precedence.

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3.1 accreditation

Third-party attestation related to a conformity assessment body conveying formal demonstration of its competence to carry out specific conformity assessment tasks (ISO/IEC 17011, 3.1).

Note: “The term ‘accreditation’ is now applicable only to attestation regarding a conformity assessment body” (ISO/IEC 17000).

3.2 applicant

Organization or legal entity responsible to a certification body for ensuring that certification requirements, including product requirements, are fulfilled (adapted from ISO/IEC 17065, 3.1).

3.3 application (function)

The request by an Applicant for product certification and the Applicant’s providing all of the information necessary to complete the selection process.

3.4 certification body

Third-party conformity assessment body operating certification schemes (ISO/IEC 17065, 3.12).

3.5 certification decision (function)

The conscientious decision by a person of authority that the body of information available demonstrates compliance with the applicable requirements.

3.6 certification scheme

Certification system related to specified products, to which the same specified requirements, specific rules and procedures apply (adapted from ISO/IEC 17000, 2.8).

Note: The rules, procedures and management for implementing product, process and service certification are stipulated by the certification scheme (ISO/IEC 17067).

3.7 determination (function)

Conformity assessment activities such as testing, measuring, inspection, design appraisal, assessment of services and auditing to provide information regarding the product’s compliance with requirements as input to the review and attestation functions (adapted from ISO/IEC 17067, 5.1.1).

3.8 evaluation

The combination of the product certification functions “selection” and “determination” (adapted from ISO/IEC 17067, 5.1.1, Note 2).

3.9 listee

Organization or person whose name is displayed on the production label and appears on the NIJ Compliant Product List (CPL).

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3.10

model designation

Unique product identification for a specific design, defined by the applicant in documentation and samples provided to the NIJ CTP prior to Certification.

3.11

review (function)

Verification of the suitability, adequacy and effectiveness of selection and determination activities, and the results of these activities, with regard to fulfillment of specified requirements by an object of conformity assessment (ISO/IEC 17000, 5.1).

3.12

selection (function)

Planning and preparation activities in order to collect or produce all the information and input needed for the subsequent determination function (adapted from ISO/IEC 17067, 5.1.1).

3.13

surveillance (function)

Systematic iteration of conformity assessment activities as a basis for maintaining the validity of the statement of conformity (ISO/IEC 17000, 6.1).

4 General

4.1 The NIJ CTP does not receive any compensation from Applicants or test laboratories.

4.2 A satisfactory certification result is a prerequisite for participation in the surveillance portion of a scheme. Certification results and surveillance participation are reported to NIJ.

4.3 Applicants or their products that do not continue to comply with NIJ CTP requirements shall be removed from the NIJ CTP.

4.4 Samples inspected by the NIJ CTP may be returned to the Applicant, held by the NIJ CTP for future reference, or disposed of when they are no longer needed.

5 Subcontracting

5.1 For the purposes of this system, efforts necessary for the performance of product conformity assessment performed by organizations outside of NIJ or CJTEC shall be considered as subcontracting.

5.2 Test results submitted for this scheme shall be accepted only from test laboratories:

- a) compliant with ISO/IEC 17025;
- b) not engaged in the design, manufacture or supply of the products covered by the scope of this system; and
- c) listed as an NIJ Approved Test Laboratory.

5.3 Inspection activities used by this scheme shall meet the applicable requirements of ISO/IEC 17020 and be performed by organizations accredited by a signatory of the ILAC MRA. Organizations performing inspection activities shall also be a Type A (third party) Inspection Body as defined by ISO/IEC 17020:2012, Clause A.1.

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5.4 Management System (MS) certification activities used by this scheme shall meet the applicable requirements of ISO/IEC 17021 and be performed by organizations accredited by a signatory of the International Accreditation Forum (IAF) Multilateral Arrangement (MLA).

6 Subordinate Conformity Assessment Schemes

Schemes written in support of this system shall be defined using the following functional conformity assessment activities:

- a) Application;
- b) Selection;
- c) Determination;
- d) Review;
- e) Certification decision; and
- f) Surveillance.

7 NIJ Notice of Compliance

7.1 If NIJ determines that the available information demonstrates compliance with applicable requirements, the institute may issue an attestation in the form of an NIJ Notice of Compliance.

7.2 The notice shall include at least the following information:

- a) model designation;
- b) product type;
- c) primary standard used to perform the evaluation;
- d) applicable marking authorizations; and
- e) NIJ CTP assigned identification number.

7.3 Individual schemes may require additional information to be included in the applicable notice.

8 Directory of Certified Products

8.1 This system does not require a directory of certified products to be published.

8.2 The NIJ CTP shall publish at least one Compliant Product List (CPL) for each scheme included in this system. That CPL shall list the model designations of products that have both satisfactorily demonstrated compliance with the applicable scheme certification requirements and participated in the applicable scheme surveillance requirements.

8.3 The purpose of each CPL is to:

- a) identify compliant products available for purchase as new that are currently produced in compliance with the applicable surveillance program; and
- b) provide a historical record of a product's past compliance with the applicable surveillance program.

8.4 Each CPL shall contain at least the following information:

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- a) listee name and contact information;
- b) model designation; and
- c) status with regard to the surveillance program defined in the applicable scheme.
 - i) Active – product is currently produced in compliance with the applicable surveillance program.
 - ii) Suspended – production of this product has been temporarily suspended.
 - iii) Inactive – manufacturer is no longer producing this product in compliance with the applicable scheme.
 - iv) Withdrawn – initial certification for this product was made in error and this product is no longer considered as having demonstrated compliance with NIJ CTP requirements.

8.5 Individual schemes may require additional information to be included in the applicable CPL.

8.6 During periods of scheme transition, the NIJ CTP may publish two CPLs covering the same product category.

8.7 A product removed from the NIJ CTP may still be listed on the CPL in order to communicate both its current and historical compliance status.

9 Indicating Conformity

9.1 Manufacturing products in compliance with NIJ CTP requirements enables Applicants and their Listees to make declarations about that compliance.

9.2 Following a product’s certification by the NIJ CTP and until that product is withdrawn from NIJ CTP Surveillance, the Applicants and their Listees may use the following phrase in advertising as an indication of a product’s current compliance status:

“Model (***model designation***), is manufactured in compliance with both the National Institute of Justice Compliance Testing Program requirements and (***NIJ Standard***).”

9.3 Applicants and their Listees may no longer use the statement above after a product is removed from the NIJ CTP.

9.4 Applicants and their Listees shall not reference the NIJ CTP in a way that is misleading or inaccurate.

Note: This includes implying applicability to the Applicant, a general product type, or group of products.

10 Changes Affecting Certification

10.1 The NIJ CTP may make changes to the conformity assessment requirements contained in this system at any time and set associated implementation deadlines. The NIJ CTP shall notify Applicants of any changes and implementation times.

10.2 Products that have not demonstrated compliance with revised requirements before the conclusion of the mandatory transition time shall be removed from the program and the CPL shall reflect this change in status.

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11 Product Certification Withdrawal

A product's certification may be withdrawn and the product's status reflected on the CPL if NIJ determines that:

- a) The evaluation process was performed incorrectly.
- b) The evaluation process was based on inaccurate or incomplete information.
- c) The certification is reconsidered because of information not available during the initial evaluation process.

12 Complaints and Appeals

12.1 Any complaints concerning NIJ CTP conformity assessment activity should be expressed in writing to the NIJ CTP.

12.2 When investigation reveals that the complaint is other than frivolous, action shall be taken by the NIJ CTP to respond.

12.3 If the NIJ CTP's response to a complaint is not satisfactory to the complainant, the complainant may request an appeal. The request for appeal must be in writing, signed and addressed to the NIJ CTP, and must include all evidence pertinent to the appeal.

12.4 NIJ alone shall make all final decisions concerning appeals.

12.5 At NIJ's discretion, a Special Review Committee (SRC) of technical experts and practitioners may be convened to review the appeal.

- a) The SRC is an advisory group whose members are selected by NIJ as needed based on knowledge and experience.
- b) SRC members shall not have participated in the specific conformity assessment activity in question and shall report all potential conflicts of interest to NIJ immediately.
- c) NIJ shall ensure that confidential commercial information is appropriately protected prior to releasing such information to SRC members.
- d) NIJ shall determine an appropriate scope and completion date for the SRC based on potential risks to end users and impact on Applicants.
- e) The output from the SRC shall be a non-binding recommendation to NIJ.

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13 Revision History

Revision	Section	Change	Name	Date
Revision 1.0	Initial release		Jamie Phillips	8/1/16
Revision 1.1	2.1, Annex A	<i>Updated Clause 2.1 and added Document 606.2 to Annex A.</i>	Jamie Phillips	9/21/16
Revision 1.2	General Document	All references to the Justice Technology Information Center (JTIC) have been removed from the document, as that program ended December 31, 2019. The NIJ CTP is now hosted by the Criminal Justice Testing & Evaluation Consortium (CJTEC), operated by RTI International.	Lance Miller	7/2/20
	Section 1 and Section 13	Updated and the format has been harmonized with other NIJ CTP Product Conformity Assessment System documents.		
	Annex A	Updates to document listing and numbering system		

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Annex A

NIJ CTP Conformity Assessment System

Document Identification	Title	Revision
606.1	NIJ CTP Conformity Assessment System – General Requirements	1.2
606.2.1	NIJ CTP Conformity Assessment System – Ballistic Body Armor Initial Type Testing (ITT) Scheme	1.1
606.2.2	NIJ CTP Conformity Assessment System – Ballistic Body Armor Follow-up Inspection and Testing (FIT) Scheme	1.3
606.3	NIJ CTP Conformity Assessment System – Stab Body Armor Scheme	TBD – Reserved for Future Use
606.4	NIJ CTP Conformity Assessment System – Autoloading Pistol Scheme	2.1