

**National Institute of Justice**

**Body Armor Compliance Testing Program**  
**Body Armor Applicant Package**

*Note: All questions regarding the Compliance Testing Program and the Applicant Package should be directed to the program manager at the National Law Enforcement and Corrections Technology Center–National (NLECTC–National) at 800–248–2742 or 301–519–5060.*

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## 1.0 Introduction

The purpose of the National Institute of Justice (NIJ) Body Armor Compliance Testing Program (CTP) is to ensure to the degree possible that body armor used for law enforcement and corrections applications is safe and reliable, and that duplicate production models periodically tested continue to meet CTP performance requirements. NIJ sponsors the CTP, which is administered by a program administrator, the National Law Enforcement and Corrections Technology Center–National (NLECTC–National). The CTP controls all activities related to the implementation of the NIJ standard for personal body armor to ensure commercially available body armor meets minimum performance requirements. Participation in the NIJ program is voluntary and open on a nondiscriminatory basis to all applicants.

## 2.0 Scope

This document includes all information necessary for a body armor applicant to participate in the CTP. *The Body Armor Compliance Testing Program Body Armor Applicant Package* includes body armor applicant instructions, application forms, program fees, and CTP procedures. The *Body Armor Compliance Testing Program Manual* describes all aspects of the CTP including, but not limited to, program organization, description of the rights and duties of body armor applicants (e.g., requirements, restrictions, or limitations on the use of the NIJ Statement of Compliance and restrictions on referencing the compliance granted), decisions on compliance status, and procedures for handling complaints, appeals, and disputes. The *Body Armor CTP Manual* may be found at [www.justnet.org](http://www.justnet.org).

### 2.1 Collection of Information

*Required by the Office of Information and Regulatory Affairs, Office of Management and Budget Paperwork Reduction Act–5 CFR 1320.9*

The information necessary for body armor applicants to participate in the CTP is collected on the CTP Applicant Agreement, Ballistic Body Armor Model Application and Body Armor Build Sheet Template, Declaration for Ballistic Body Armor, and Compliance Testing Program Conformity Assessment Follow- Up Agreement forms.

These forms will provide basic information about the body armor applicant including, but not limited to, manufacturing facility location(s), contacts, and armor model information. In addition, the body armor applicant must agree to specific program requirements as a prerequisite for participation in the CTP.

It is anticipated that a body armor applicant will spend 5 hours per year completing and submitting applications for participation in the CTP.

Completion of the above-referenced forms is required to be eligible for participation in the Bulletproof Vest Partnership Funding Program (BVPFP), a unique U.S. Department of Justice initiative designed to provide a critical resource to state and local law enforcement agencies. Participation in the BVPFP is not mandatory.

In accordance with the body armor applicant agreement and program procedures, NIJ and NLECTC–National will maintain as confidential all information obtained from the body armor applicant and will not disclose such information to any third party without prior written approval from the body armor applicant.

## **3.0 Compliance Testing Program**

### **3.1 Compliance Testing Program Elements**

#### **3.1.1 Type Testing**

Type testing is one of the requirements to become listed on the NIJ Compliant Products List. Type testing is the initial testing of armor model samples conducted at an NIJ-approved test laboratory in accordance with *Ballistic Resistance of Body Armor, NIJ Standard–0101.06* (2008) as specified by the CTP. This activity will develop the test data used to determine conformity with applicable requirements, support ongoing follow-up, and demonstrate conformity of body armor models to those originally tested and found compliant. Type-testing data is provided by the test laboratories to the CTP through the Compliance Test Report (CTR).

#### **3.1.2 Compliance Decision**

NIJ renders all compliance decisions based on evaluation of the CTR, examination of submitted body armor test samples and corresponding build sheets, and agreement by the body armor applicant to participate in the conformity assessment follow-up process.

#### **3.1.3 Attestation of Conformity**

Attestation of conformity comes in the form of inclusion on the publicly accessible NIJ Compliant Products List. This list includes information such as the body armor applicant's name, manufacturing location(s), designated model number(s), threat rating, and other performance criteria as specified in the appropriate standard.

#### **3.1.4 Conformity Assessment Follow-Up Process**

The body armor applicant must agree to periodic sample selection and testing of armor models listed on the NIJ Compliant Products List. This process is intended to provide confidence that ongoing production of listed body armor models continues to meet a limited set of performance tests from the appropriate standard (as listed in the *CTP Body Armor Applicant Package*).

## **3.2 Listing Cycle**

Once an armor model is listed on the NIJ Compliant Products List, the model will remain on the list for a period of 60 months if all CTP requirements continue to be met. Retesting may occur at any time during the interval prior to listing expiration and will not be on a regularly scheduled basis.

At the end of 60 months, the body armor applicant may elect to maintain the model's listing and undergo retesting immediately. The CTP will notify body armor applicants 6 months prior to the expiration date, and the body armor applicant must notify NLECTC–National of the intention for continued participation at least 30 days prior to the expiration date.

## **3.3 Compliance Testing Program Responsibilities**

As defined in ISO/IEC Guide 65, the CTP designates certain organizations as having specific areas of responsibility. The organizations and their areas responsibilities include, but are not limited to:

### **3.3.1 National Institute of Justice**

- NIJ responsibilities include, but are not limited to:
- Overall management for the program.
- Formulating policy matters relating to CTP operation.
- Making all compliance decisions based on Compliance Test Reports, NLECTC–National evaluation reports, and the body armor applicant's participation in the conformity assessment follow-up process.
- Supervising CTP finances.
- Determining delegation of authority to committees or individuals, to undertake as required, defined CTP activities on its behalf.
- Rendering all decisions regarding granting, maintaining, extending, suspending, revoking, and withdrawing compliance status.
- Rendering all decisions on approval of test laboratories approved for the CTP.
- Rendering all decisions regarding disposition of complaints and disputes.
- Convening the Special Review Committee, whenever necessary, in accordance with the procedures and requirements set forth in the *Body Armor CTP Manual*.
- Implementing, as appropriate, appeal decisions rendered by the Special Review Committee.
- Providing due notice of any changes in CTP requirements, taking into account views expressed by interested parties.
- Maintaining confidentiality of all findings, test results, and information gathered during the course of compliance testing.
- Issuing a Notice of Compliance to the body armor applicant.

### **3.3.2 National Law Enforcement and Corrections Technology Center–National**

- Being the direct contact for all communications regarding the CTP (e.g., application and standards interpretation, program information).
- Administering the CTP per the requirements as defined in the *Body Armor CTP Manual* and managing day-to-day operations.
- Providing appropriate administration of the program, with confidential and impartial treatment of participants.
- Implementing policies that govern the operation of the CTP, with direction and concurrence of NIJ.
- Maintaining the list of NIJ-approved test laboratories.
- Maintaining the list of approved inspection bodies.
- Selecting NIJ-approved test laboratories and approved inspection bodies for conformity assessment follow-up.
- Processing requests for approval of extensions for compliance status of modified body armor.
- Maintaining confidentiality of findings, test results, and all information gathered during the course of compliance testing.
- Documenting the technical basis for granting compliance status through the evaluation of body armor models tested and evaluated in accordance with the NIJ standard and CTP requirements.
- Ensuring all fees are paid for conformity assessment follow-up.
- Documenting requirements and directives on interpretation of NIJ standards.
- Providing due notice of any changes in CTP requirements, taking into account views expressed by interested parties.
- Disseminating all publicly available CTP information through [www.justnet.org](http://www.justnet.org) and other means, as appropriate.
- Maintaining the NIJ Compliant Products List.
- Maintaining tested armor samples in a secure archive.

### **3.3.3 Body Armor Applicant**

- Abiding by all terms and conditions and complying with all requirements of the Body Armor Applicant Agreement section of the *Body Armor CTP Manual*.
- Complying with requirements and procedures set forth in the *Body Armor CTP Manual* as amended.
- Designating a contact person that NLECTC–National or a designated inspector can contact as necessary.
- Notifying NLECTC–National of changes in ownership or legal name and/or changes in body armor applicant or manufacturing locations.
- Notifying NLECTC–National in advance of additional listed companies.
- Ensuring that information acquired through the contracted agreement with NLECTC–National shall not be used in a misleading manner.
- Notifying NLECTC–National of any changes in material and design of models listed on

the NIJ Compliant Products List.

- Maintaining a list of model numbers and serial numbers of compliant models sold.
- Maintaining a record of all known complaints known to the body armor applicant relating to a product's compliance with requirements, including appropriate action taken to correct complaints.
- Packaging and shipping body armor test samples selected during conformity assessment follow-up to designated NIJ-approved test laboratories.
- Packaging the build sheets for armor models selected during conformity assessment follow-up and providing the package to the inspector.

### **3.3.4 NIJ-Approved Test Laboratory**

- Conducting all tests in accordance with *Ballistic Resistance of Body Armor, NIJ Standard-0101.06* (2008) and providing the CTRs to the body armor applicant and NLECTC–National.
- Conducting all testing as part of the conformity assessment follow-up process and providing the CTR to the body armor applicant and NLECTC– National.
- Forwarding required tested armor model samples to NLECTC–National.
- Maintaining confidentiality of test results, findings, and all information gathered during the course of testing. All CTRs shall be transmitted by encrypted e-mail, along with the key, or by CD.
- If necessary, appearing before the Special Review Committee in accordance with procedures and requirements set forth in the Appeals section of the *Body Armor CTP Manual*.

### **3.3.5 Inspection Body**

See Body Armor Follow-up Inspection and Testing SOP for additional information.

## **3.4 Compliance Testing Program Fees**

### **3.4.1 Initial Type Testing**

- The body armor applicant is responsible for all expenses related to testing and environmental conditioning for each armor model submitted to the CTP for type testing.
- The body armor applicant is responsible for negotiating and executing a contract with an NIJ-approved test laboratory. Payments shall be remitted directly to the laboratory.
- The body armor applicant is responsible for expenses related to shipping armor model test samples to the laboratory for testing.



### **3.4.2 Conformity Assessment Follow-Up**

The body armor applicant is responsible for all expenses related to the conformity assessment follow-up process such as:

- inspection costs,
- testing, and
- shipping.

## **4.0 NIJ Body Armor Compliance Testing Program Application Process**

1. Body armor applicant downloads *Compliance Testing Program (CTP) Applicant Package* from [www.justnet.org](http://www.justnet.org).
2. Body armor applicant submits completed Attachment A (Compliance Testing Program Application and Agreement) to NLECTC–National.
3. NLECTC–National signs and returns a copy of the CTP agreement.
4. Body armor applicant submits completed Attachment B (Ballistic Body Armor Model Application and Body Armor Build Sheet), and model diagram along with relevant model documentation for each armor model submitted to the CTP. Body armor applicant provides NLECTC–National with name of the NIJ- approved test laboratory that will conduct the initial type testing.
6. Upon successful review of the model documentation, NLECTC–National will assign individual model test identification numbers and authorize the body armor applicant to submit test sample(s) to the selected test laboratory.
7. Upon completion of type testing the test laboratory will transmit a Compliance Test Report (CTR) to both the body armor applicant and NLECTC–National.
8. The test laboratory will forward the tested samples and corresponding photos and relevant information to NLECTC–National.
9. NLECTC–National conducts evaluation of CTR and test samples.
10. If necessary, body armor applicant shall correct any noncompliance with previously submitted documentation.
11. Upon successful completion of testing and evaluation by NLECTC–National, the body armor applicant is requested to submit a signed Attachment C (Declaration of Ballistic Body Armor) form for each model and a completed and signed Attachment D (Conformity

Assessment Follow- Up Form agreement), and a sample production label for Listed Company associated with the model.

12. NLECTC–National submits a recommendation for compliance status to NIJ for review.
13. NIJ renders a decision on compliance status.
14. If compliance status is not granted the body armor applicant may file an appeal.
15. If compliance status is granted, the body armor applicant is issued an NIJ Notice of Compliance Letter for each complaint body armor model.
16. Body armor applicant information and approved armor models(s) are added to the NIJ Compliant Products List.
17. The NIJ Compliant Products List is posted on [www.justnet.org](http://www.justnet.org).
18. The body armor compliant applicant models are entered into the CTP conformity assessment follow-up process.

## 5.0 Sample NIJ Notice of Compliance

An NIJ Notice of Compliance letter will be sent to the body armor applicant for each model that has met the requirements set forth by NIJ in the Compliance Testing Program.

[*Applicant Authorized Representative*], Title  
123 4th Street  
Anytown, USA 01234-5678

Date

### Notice of Compliance With NIJ Standard-0101.06

Body Armor Model Designation: ABC 123 Level: II Manufacturer: ABC Body Armor Warranty Period: x Years  
NIJ Compliance Status Expires: Month Day, Year

Dear [*Applicant Authorized Representative*]:

We have completed our evaluation of the samples of the Body Armor Model identified above that were submitted to the National Institute of Justice's (NIJ's) Voluntary Body Armor Compliance Testing Program (CTP). We are pleased to inform you that the above body armor model satisfies the requirements of NIJ Standard-0101.06.

We also received your completed declaration concerning the model noted above to participate in the conformity assessment follow-up process.

Based on the results of the armor testing and our review of the aforementioned document, NIJ has determined that this body armor model is in compliance with NIJ Standard-0101.06. The body armor model, declared warranty period, and compliance expiration date will be added to the NIJ Compliant Products List, which identifies armor models that comply with NIJ Standard-0101.06. This list is made available at [www.justnet.org](http://www.justnet.org).

You are now authorized to place the NIJ Statement of Compliance on the labels of this body Armor Model and all subsequent production units. The Statement of Compliance shall read:

*"This model of armor has been determined to comply with NIJ Standard-0101.06 by the NIJ Compliance Testing Program and is listed on the NIJ Compliant Products List."*

All compliance requirements, as identified by the CTP Administrative Procedures Guide, must be maintained as long as the NIJ Statement of Compliance is displayed on this armor model's labels. If, at any time, the compliance status of this armor model is changed, the NIJ Statement of Compliance shall cease to be used as of the date of the status change.

Michael K. O'Shea  
Law Enforcement Program Manager  
US Department of Justice  
OJP/NIJ/OST/Operational Technologies Division

## 6.0 Ballistic Armor Labeling Guidance

### 6.1 Compliance Test Armor Labeling

Labeling attached to ballistic panels and carriers submitted for compliance testing through the CTP shall meet the requirements of the standard and shall be in English.

### 6.2 Production Armor Labeling

Labeling requirements and examples of the labels that should appear on armor models listed on the NIJ Compliance List are provided below. These labels shall *never* be attached to test articles or any armor designs for which an NIJ Notice of Compliance has not been issued.

### 6.3 Production Ballistic Panel Labeling

Every NIJ-compliant ballistic panel shall have a label, which shall be permanently attached to the panel face of the panel. A sample label is provided in [figure 6.1](#). The label shall contain the following information:

- Name, logo, or other identification of the listed company.
- Rated level of protection and reference to this edition of the standard (i.e., Type II in accordance with NIJ Standard–0101.06).
- Length of manufacturers warranty period for ballistic performance of the model with the originally declared threat level.
- Size (if custom fitted, provision for the name of the individual for whom it is made).
- Serial number.
- Lot number.
- Location of manufacture.
- Date of manufacture.
- Date of issue line (to be filled in by user).
- Model designation as named in the NIJ Notice of Compliance.
- Proper orientation of the ballistic panel in the carrier clearly identified to indicate strike face or body side.
- Care instructions for ballistic material in accordance with 16 CFR 423 Part
- 423, Care Labeling of Textile Wearing Apparel and Certain Piece Goods, as amended effective April 9, 2004; Federal Trade Commission Regulation Rule.
- For Types IIA, II, and IIIA armor, a warning in type at least twice the size of the rest of the type on the label, exclusive of the information required in (a) above, stating that the armor is not intended to protect the wearer from rifle
- fire and, if applicable, that the armor is not intended to protect the wearer from sharp-edged or pointed instruments. (Note: Printing color changes are acceptable but cannot be substituted for the type size requirement).

#### **6.4 Labeling of Production Armor Carriers with Non Removable Ballistic Panels NIJ Statement of Compliance**

Production armor with ballistic panels that are nonremovable shall, in addition to the label required for the ballistic panel, have a label on the carrier ([figure 6.1](#)) in conformance with the requirements for the ballistic panels, unless the armor is so constructed that the ballistic panel label is not covered by the carrier. The label may be positioned in a location where it is not visible when the armor is worn, but it shall be easy to locate and easily readable when the armor is doffed.

#### **6.5 Labeling of Production Armor Carriers With Removable Ballistic Panels**

Production armor carriers with removable ballistic panels shall have label(s) on either exterior surface of the carrier. If the carrier is one piece (i.e., all parts are sewn together into one garment), one label in conformance with the requirements of this section is sufficient. If the front and back of the carrier are separable, the front and back parts shall each be labeled. A sample label is provided in [figure 6.2](#), and the label shall contain the following information:

- Name, logo, or other identification of the listed company.
- Statement telling the user to look at the ballistic panels to determine the level of ballistic protection.
- Size (if custom fitted, provision for the name of the individual for whom it is made to be filled in by user).
- Date of issue line (to be filled in by user).
- A model designation that uniquely identifies the garment for purchasing purposes.

**(Listed Company's) Name**  
**(Listed Company's) Address**

Model: \_\_\_\_\_  
Size: \_\_\_\_\_  
Serial Number: \_\_\_\_\_  
Lot Number: \_\_\_\_\_  
Location of Manufacture: \_\_\_\_\_  
Date of Manufacture: \_\_\_\_\_  
Date of Issue: \_\_\_\_\_  
Manufacturer's Declared Warranty Period: \_\_\_\_\_ years.  
Threat Level (NIJ 0101.06): \_\_\_\_\_

**This model of armor has been determined to  
comply with NIJ Standard-0101.06 by  
the NIJ Compliance Testing Program  
and is listed on the NIJ Compliant  
Products List.**

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## **WARNING!**

*This garment is rated ONLY for the  
ballistic threat level stated  
above. It is NOT intended to  
protect against rifle fire or  
sharp-edged or pointed  
instruments.*

**\*\* Wear Face \*\***

This side to be worn against body.

Care Instructions for Ballistic Panel:

(Sample Instructions Shown):

1. Do Not Wash or Dry Clean.
2. Wipe With a Damp Cloth.

*Figure 6.1 Sample ballistic panel label*

**Listed Company's Name**  
**Listed Company's Address**  
[Listed Company's Logo - Optional]

**BODY ARMOR CARRIER**

Name: \_\_\_\_\_

Model: \_\_\_\_\_ Size: \_\_\_\_\_

Lot Number: \_\_\_\_\_ Date of MFG: \_\_\_\_/\_\_\_\_/\_\_\_\_

Serial Number: \_\_\_\_\_ Date of Issue: \_\_\_\_/\_\_\_\_/\_\_\_\_

*This carrier offers no ballistic protection without ballistic panels being inserted. See ballistic panel labels for protection level provided in accordance with NIJ-Standard 0101.06.*

**CARE INSTRUCTIONS FOR CARRIER:**  
(sample instructions shown - to be provided by the Listed Company)

1. Remove ballistic panels from front and back of outer shell vest (carrier).
2. Ensure hook and loop fasteners are in closed position during washing cycle.
3. Automatic machine wash the outer shell vest (carrier) *only*, using the permanent press cycle and warm water settings (Approximately 120 °F).
4. Use low sudsing detergent according to detergent manufacturer's directions.
5. **DO NOT USE BLEACH.**
6. Carrier *only* may be tumble dried at medium temperature setting or may be line dried.
7. Carrier *only* may be dry cleaned.

*Figure 6.2 Sample armor carrier label*

- For armors where the carrier extends beyond the ballistic panel more than 10 mm (0.4 in), the edge of the panel shall be clearly identified on the carrier by a label stating: "NO BALLISTIC PROTECTION BEYOND THIS POINT" ([figure 6.3](#)), and a stitch line through both sides of the carrier at this location to keep the ballistic panel from shifting within the carrier.
- Care instructions for the armor carrier in accordance with 16 CFR 423.

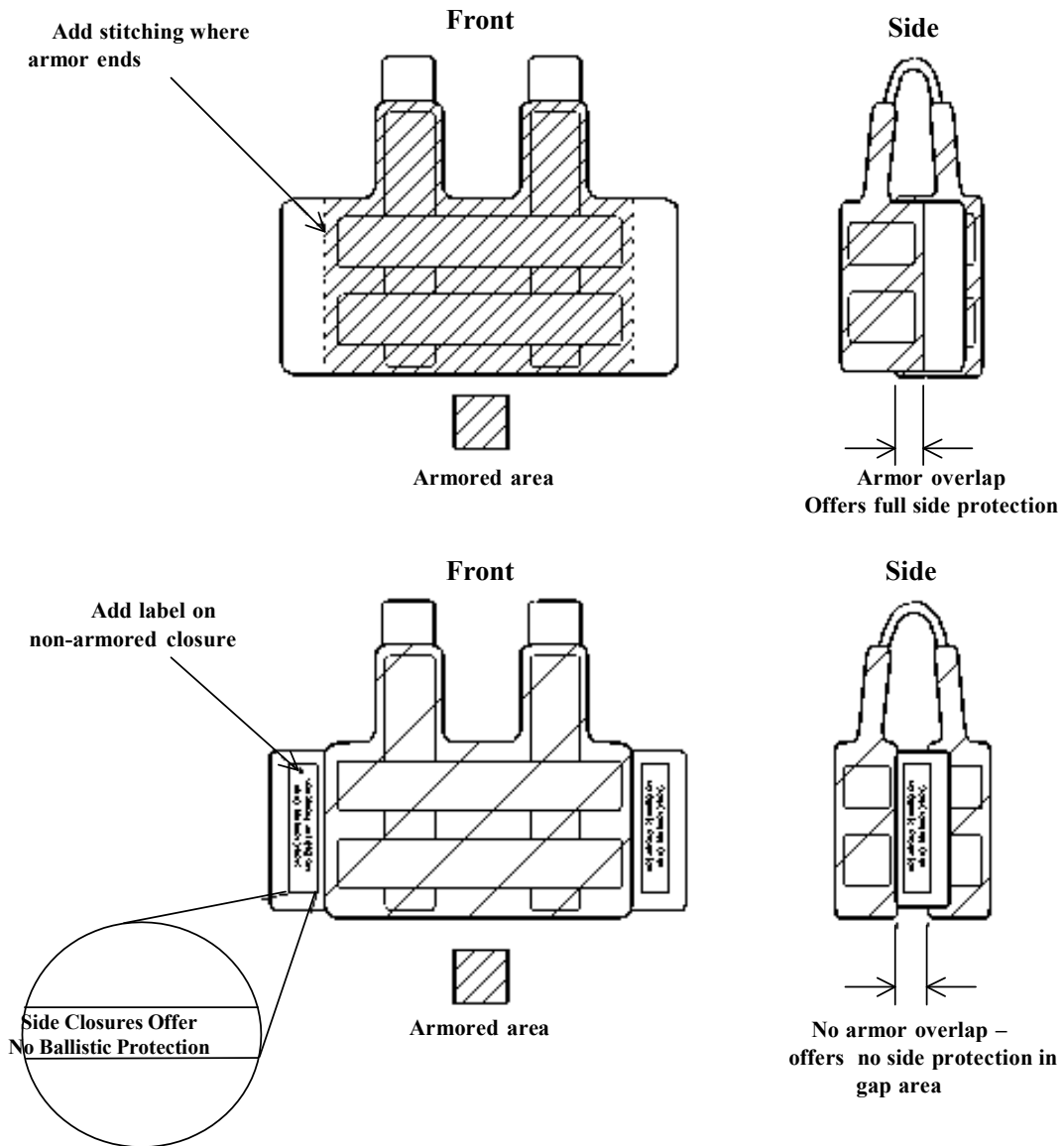


Figure 6.3 Sample label locations



## **7.0 Conformity Assessment Follow-Up Process**

After an armor model is listed on the NIJ Compliant Products List, ongoing performance is monitored by a follow-up process that periodically and randomly selects subsequent production samples of listed body armor models.

Sampling plans are developed based on the body armor applicant's manufacturing locations, the NLECTC–National prioritized list of compliant models, ongoing retest performance, and whether the manufacturing location has a registered quality management system (QMS). The number of retests has been initially set, but the number may be reduced in future testing cycles after the first 5 years. The CTP reserves the right to increase retesting frequency for body armor applicants who are repeatedly found to be noncompliant with the requirements.

See Body Armor Follow-up Inspection and Testing SOP for additional information.

## **8.0 Changes**

Prior to making any change (design, construction, manufacturing processes, or organization) the body armor applicant must submit in writing a request for permission to the CTP for review. The request must be submitted by the documented Approved Signatory or Authorized Representative.

The CTP will review the requested change and respond with a decision or a request for additional information in order to provide sufficient confidence in the performance of the body armor following the change.

While all changes must be evaluated on a case by case basis, the lists below provide the minimum information for the CTP to begin review and consideration of the request.

### **8.1 Changes to Armor Design, Construction, or Manufacturing Processes (as reflected in documentation provided for initial type testing and evaluation):**

- executive summary memo explaining the change (including: purpose and potential impact on performance of body armor),
- revised documentation reflecting change.

### **8.2 Changes to Organization:**

- executive summary memo explaining the change (including: purpose and potential impact on performance of body armor),
- revised documentation reflecting change,
- professional biographies or curriculum vitae (in the event of changes to senior staff directly responsible for body armor production)

## 9.0 Body Armor Applicant Instructions

### 9.1 Introduction

All documentation agreements, applications, and forms must be completed and submitted by mail to the NIJ CTP Manager at NLECTC–National, 2277 Research Blvd., MS 8J, Rockville, MD 20850 or by e-mail to [bactp@NLECTC.org](mailto:bactp@NLECTC.org).

### 9.2 Required Forms

- **Compliance Testing Program Application and Agreement**  
*Note: This document should be submitted only once.*
- **Ballistic Body Armor Model Application and Body Armor Build Sheet Template**  
*Note: This document should be submitted for each model.*
- **Declaration for Ballistic Body Armor**  
*Note: This document should be submitted for each model.*
- **Compliance Testing Program Conformity Assessment Follow-Up Agreement**  
*Note: This document should be submitted for each model.*

### 9.3 Application Process

There are three steps in the application process for submission of armor models to the CTP.

**Step 1:** All body armor applicants seeking to participate in the CTP must complete and sign the Compliance Testing Program Applicant Agreement and submit the original signed agreement to NLECTC–National. On receipt of the completed agreement, NLECTC–National will sign and return a copy by e-mail to the body armor applicant accepting their participation in the CTP. In addition, the body armor applicant will be assigned a specific identification number.

The complete list of NIJ-approved test laboratories may be found at [www.justnet.org/testing/bodyarmor\\_labs04.html](http://www.justnet.org/testing/bodyarmor_labs04.html)

**Step 2:** The body armor applicant must submit to NLECTC–National the completed Ballistic Body Armor Model Application and Body Armor Build Sheet Template for each armor model submitted to the CTP for type testing. In addition the applicant must select and submit to NLECTC- National an NIJ-approved test laboratory to conduct the initial type testing. All requested fields in the application must be completed and supporting documentation must be enclosed. Failure to submit a fully completed application may delay submission of the model for testing.

On receipt of the completed Ballistic Body Armor Model Application, Body Armor Build Sheet Template, and supporting documentation for each model submitted, NLECTC–National will issue a test identification number for each model to the applicant via e-mail, along with a letter advising the body armor applicant to submit their model samples to the laboratory for testing. Samples for type testing must not be sent to the test laboratory until the body armor applicant has been notified to do so by NLECTC–National.

**Guidance on samples for type testing:** For type testing, the body armor applicant must provide samples sized within the allowed tolerance on the templates provided in the standard. If a body armor applicant type tests a model to the smallest and largest templates, any size of that armor model can be manufactured in production. If the body armor applicant tests to an intermediate size on the upper or lower end of the sizing templates, that intermediate size will be the respective upper or lower boundary that can be manufactured in production.

The body armor applicant must provide a diagram for each model to the test laboratory and to NLECTC–National showing the seams and other potential vulnerabilities.

**Step 3:** If the armor model successfully completes type testing, the CTP will request the body armor applicant to sign and submit a Declaration for Ballistic Body Armor and a Compliance Testing Program Conformity Assessment Follow- Up Agreement. NIJ will not issue a Notice of Compliance until these forms are received and approved by NLECTC–National.

#### **9.4 Possible Type Testing and Compliance Decision Results**

In type testing, the test laboratory is responsible for performing ballistic testing and workmanship examination per the requirements of the standard. If the laboratory testing and evaluation results are positive, this is referred to as a *ballistics testing pass*. If the results are negative, this is referred to as a *ballistics testing failure*. The laboratory sends the CTR and armor samples to NLECTC–National. Following ballistic testing, the armor construction is examined and a comparison is performed between the construction and the build sheet. If the

NLECTC–National evaluation results are positive, this is referred to as a *construction pass*. If the results are negative, this is referred to as a *construction failure*.

There are four possible outcomes upon which the compliance decision is based:

- Ballistics testing pass + Construction pass.
- Ballistics testing pass + Construction failure.
- Ballistics testing failure + Construction pass.
- Ballistics testing failure + Construction failure.

## **9.5 Termination of Testing**

The applicant may direct the testing lab to terminate type testing at any point during the compliance test campaign. If testing is terminated and there are failures during that test, the incomplete Compliance Test Report (CTR) shall be submitted to the CTP along with an explanation. If testing is terminated and there are no failures during that test, the incomplete CTR shall not be submitted to the CTP. Anytime a compliance test is terminated, the laboratory shall provide written notification to the CTP.

## **9.6 Redefining the NIJ-C-1 Size Boundary During the Compliance Test Campaign**

9.6.1 If the NIJ-C-1 size experiences a failure during the Perforation-Backface Signature Testing (P-BFS), the applicant may redefine the NIJ-C-1 size boundary one time during the testing of new armor. The size boundary may only be redefined to be the NIJ-C-2 size.

9.6.2 In the event that the applicant chooses to redefine the size boundary, testing of the NIJ-C-1 size may be stopped immediately, and the results shall be recorded on an incomplete CTR. A sample of the failed armor shall be sent to the CTP along with the incomplete CTR.

9.6.3 The applicant may submit the same construction for a new compliance test with the NIJ-C-2 size boundary replacing the one that experienced the failure. The applicant shall submit a new armor application. The CTP will then issue a new Test ID number along with authorization to begin testing on the new size test samples. The test laboratory shall record the test results for the larger size that originally met the requirements and the newly submitted armor on the same CTR with the new Test ID.

9.6.4 Any additional non compliant test result will be recorded as a failure. The armor construction is not eligible for CTP listing and can not be resubmitted for NIJ compliance testing.

Note: The size boundaries shall be the same for new and conditioned armor. Conditioning of armor shall be as specified in the standard.

## **10.0 Attachments: CTP Application Forms**

In accordance with the Paperwork Reduction Act of 1995, no person is required to respond to a collection of information unless it displays a valid OMB control number. The OMB number for this collection is 1121-0321. Public reporting burden for this collection of information is estimated to average one hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the information.

This information is being requested pursuant to 6 U.S.C. 162(b)(4) and 6 U.S.C. 162(b)(6)(B). The disclosure is voluntary. The information provided on this form will be used by the National Institute of Justice (NIJ) to administer a product conformity assessment program for products used by law enforcement and correctional officers. This information and the associated products are voluntarily submitted under the Compliance Testing Program.

- A. Compliance Testing Program Application and Agreement**
- B. Ballistic Body Armor Model Application and Body Armor Build Sheet Template**
- C. Declaration for Ballistic Body Armor**
- D. Compliance Testing Program Conformity Assessment Follow-Up Agreement**

## Attachment A

### Compliance Testing Program Application and Agreement

All body armor applicants seeking to participate in the National Institute of Justice (NIJ) Voluntary Compliance Testing Program (CTP) must complete and sign this agreement. The original signed agreement must be submitted to the CTP Manager at the National Law Enforcement and Corrections Technology Center (NLECTC–National), 2277 Research Blvd., MS 8J, Rockville, MD 20850. Upon receipt of the completed agreement, NLECTC–National will sign and return a copy to the applicant accepting their participation in the CTP via e-mail.

Information on the CTP may be found in the *CTP Applicant Package* located on the NLECTC–National website at [www.justnet.org](http://www.justnet.org). Specific questions or requests for assistance may be directed to NLECTC–National by telephone at 800–248–2742 or 301–519–5060 or by e-mail at [bactp@NLECTC.org](mailto:bactp@NLECTC.org).

#### Applicant Information

Please provide business headquarters information below.

Applicant Name: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone: \_\_\_\_\_

Approved Signatory (Name/Title): \_\_\_\_\_

Approved Signatory Telephone Number: \_\_\_\_\_

Approved Signatory Telephone E-mail: \_\_\_\_\_

Authorized Representative (Name/Title): \_\_\_\_\_

Authorized Representative Telephone Number: \_\_\_\_\_

Authorized Representative Telephone E-mail: \_\_\_\_\_

**Manufacturing Location #1**

Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Manufacturer Contact Name: \_\_\_\_\_

Title: \_\_\_\_\_

Telephone: \_\_\_\_\_

E-mail: \_\_\_\_\_

Check box if manufacturing location(s) has a registered BA 9000 *Quality Management System*. If checked, please provide a copy of the current registration certificate.

\_\_\_\_\_

**Manufacturing Location #2**

Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Manufacturer Contact Name: \_\_\_\_\_

Title: \_\_\_\_\_

Telephone: \_\_\_\_\_

E-mail: \_\_\_\_\_

Check box if manufacturing location(s) has a registered BA 9000 *Quality Management System*. If checked, please provide a copy of the current registration certificate.

*Note: Photocopy this form if you have additional manufacturing locations.*

## Agreement

By submitting this application, I/we, on behalf of \_\_\_\_\_,  
*Applicant*

I hereby acknowledge and agree to the following:

- 1** I/we will provide NIJ, NLECTC-National, and their agents or designees full and complete access, announced or unannounced, to all manufacturing facilities, records, and personnel used in the manufacture of models of equipment listed on the NIJ Compliant Products List. This includes the selection and removal of production samples from manufacturing facilities at the applicant's expense for the purposes of conformity assessment follow-up.
- 2** I/we will not use any model's compliance status in a way that, in the opinion of NIJ:
  - 2.1** Is inconsistent with the scope of the model's compliance status.
  - 2.2** Brings the credibility of NIJ, its agents or designees, or the CTP into question.
  - 2.3** Is misleading or inaccurate.
- 3** I/we agree, upon expiration, withdrawal, suspension, or revocation of compliance status to immediately cease and desist any and all advertising or statements claiming the compliance status of the affected model(s).
- 4** I/we will use the compliance status only in the manner for which it was issued and reference only the requirements of the specific standard to which the model was found to be compliant.
- 5** I/we will not create or otherwise publish in any form (written, electronic, or Internet) any document, advertisement, product literature, or brochure that references NIJ, NLECTC-National, or the CTP in a manner that is not consistent with this agreement.
- 6** I/we acknowledge that failure to comply with the provisions of this agreement immediately upon such request by NIJ, its agents, and/or designees constitutes grounds for suspension or revocation of NIJ compliance status.
- 7** I/we agree to maintain a system of traceability between listed model designations, serial numbers, lot numbers, and the purchasers of each product.
- 8** I/we agree to pay all fees and costs incurred during the conformity assessment follow-up process.
- 9** I/we shall not assign this agreement in whole or in part to another party.
- 10** I/we hold NIJ and NLECTC-National officers, directors, and staff harmless and indemnify them from fees arising from any and all claims with respect to the applicant's listed models, to the CTP, to the NIJ compliance statement, and violation of the terms and conditions of this agreement.



- 11 I/we agree to notify NLECTC–National in writing on company letterhead prior to establishing a new production facility or relocating facilities related to the manufacture of NIJ-compliant armor models.
- 12 I/we agree to notify NLECTC–National in writing on company letterhead if the authorized representative changes.
- 13 NIJ and NLECTC–National will maintain confidential all information obtained from the applicant and will not disclose such information to any third party without the prior written approval of the applicant.

**Authorized Representative:**

As the applicant’s authorized representative, I have the authority to agree to all requirements of this document on the applicant’s behalf and attest that all statements are correct and made in good faith.

\_\_\_\_\_  
Signature of Authorized Representative

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name (Please print/type)

**NLECTC–National Representative Acknowledgement:**

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name (Please print/type)

## Attachment B

### Ballistic Body Armor Model Application and Body Armor Build Sheet Template

This application must be completed for each armor model and submitted to the NIJ Compliance Testing Program (CTP) Manager at the National Law Enforcement and Corrections Technology Center (NLECTC–National) via mail to 2277 Research Blvd., MS 8J, Rockville, MD 20850 or email to [bactp@NLECTC.org](mailto:bactp@NLECTC.org). Upon receipt of the completed application, NLECTC–National will issue a test identification number for this model via e-mail to the applicant.

Model Designation: \_\_\_\_\_

Applicant Name: \_\_\_\_\_

#### Listed Company

Identify the name(s) of the company under which the model will be listed on the NIJ Compliant Products List.

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

If there is more than one listed company, please provide above information on a separate page.

#### Manufacturing Locations

List each manufacturing facility address at which the model will be produced:

1 \_\_\_\_\_

2 \_\_\_\_\_

3 \_\_\_\_\_

#### Model Information

Model Type:       Flexible               Accessory Panel(s)               Hard Armor

Threat Level       IIA               II               IIIA               III               IV

Flexible Armor Threat Levels IIA–IIIA

Armor Sample Sizes:

Please indicate the maximum and minimum template sizes to which this model will be produced.

Select	Size	NIJ Template
<input type="checkbox"/>	Largest	NIJ-C-5
<input type="checkbox"/>	Large	NIJ-C-4
<input type="checkbox"/>	Medium	NIJ-C-3
<input type="checkbox"/>	Small	NIJ-C-2
<input type="checkbox"/>	Smallest	NIJ-C-1

Shot-to-Edge Distance: (NIJ Standard–0101.06, Figure 3.)

IIA (9mm):	<input type="checkbox"/> 2"	<input type="checkbox"/> 1"	<input type="checkbox"/> Other _____	
IIA (.40 S&W):	<input type="checkbox"/> 3"	<input type="checkbox"/> 2"	<input type="checkbox"/> 1"	<input type="checkbox"/> Other _____
II (9mm):	<input type="checkbox"/> 3"	<input type="checkbox"/> 2"	<input type="checkbox"/> 1"	<input type="checkbox"/> Other _____
II (.357 Magnum):	<input type="checkbox"/> 3"	<input type="checkbox"/> 2"	<input type="checkbox"/> 1"	<input type="checkbox"/> Other _____
IIIA (.357 SIG):	<input type="checkbox"/> 3"	<input type="checkbox"/> 2"	<input type="checkbox"/> 1"	<input type="checkbox"/> Other _____
IIIA (.44 Magnum):	<input type="checkbox"/> 3"	<input type="checkbox"/> 2"	<input type="checkbox"/> 1"	<input type="checkbox"/> Other _____

Flexible Armor: (NIJ Standard–0101.06, Figure 4.)

III (7.62 mm NATO):	<input type="checkbox"/> 3"	<input type="checkbox"/> 2"	<input type="checkbox"/> 1"	<input type="checkbox"/> Other _____
IV (30.06 M2 AP):	<input type="checkbox"/> 3"	<input type="checkbox"/> 2"	<input type="checkbox"/> 1"	<input type="checkbox"/> Other _____

Accessory Panels Levels IIA–IIIA: (24 shots are required with a maximum of 6 shots per panel allowed. NIJ Standard)

Shots per Panel: \_\_\_\_\_

Number of Panels: \_\_\_\_\_

## Hard Armor

### Type III Armor:

P-BFS Test:

*(24 shots are required with a maximum of 6 shots per panel. The maximum size panel for testing is 10" x 12".)*

Shots per Panel: \_\_\_\_\_

Number of Panels: \_\_\_\_\_

Ballistic Limit Test:

*(24 shots are required with a maximum of 6 shots per panel. The maximum size panel for testing is 10" x 12".)*

Shots per Panel: \_\_\_\_\_

Number of Panels: \_\_\_\_\_

### Type IV Armor:

P-BFS Test:

*(24 shots are required with a maximum of 6 shots per panel. The maximum size panel for testing is 10" x 12".)*

Shots per Panel: \_\_\_\_\_

Number of Panels: \_\_\_\_\_

Ballistic Limit Test:

*(12 shots are required with a maximum of 6 shots per panel. The maximum size panel for testing is 10" x 12".)*

Shots per Panel: \_\_\_\_\_

Number of Panels: \_\_\_\_\_

**Proprietary Information  
 Materials of Construction Data Worksheet**

<i>Applicant</i>		<i>Model Designation</i>		<i>Model Code</i>	
NIJ STD 0101.06	Select Type	NIJ STD 0115.00	Select Spike	Select Edged Blade	Select Gender
			Select Sample Type	Select Armor Type	

**Ballistic Panel Composition/Lay-up Description**

Material	Manufacturer/Weaver	Specific Material	Measurables	Orientation	Layers
<b>Strike Face</b>					
Select Material					
Select Material					
Select Material					
Select Material					
Select Material					
Select Material					
Select Material					
Select Material					
					<i>Total Layers:</i>

**Body Side**

**Ballistic Construction Details (Submit Diagram of Stitching and Seam Locations)**

Stitching Description	Locations(s)	Thread Type	Stitches per Inch	Layers
<b>Strike Face</b>				
<b>Body Side</b>				

**Ballistic Panel Cover**

<i>Material</i>	<i>Method of Closure</i>

**External Ballistic Carrier Material(s) Used During Compliance Testing**

--

**Optional External Ballistic Carrier Materials**

--

**Additional Comments**

--

I hereby declare that all body armor produced as the Model Designation identified above and described here shall be identically constructed, using the same materials (from the same manufacturer/supplier) and stitch patterns as the test samples provided for initial type testing whether the armor is ballistic, stab or both.

Signed \_\_\_\_\_ Printed Name \_\_\_\_\_ Date \_\_\_\_\_

## Attachment C

### Declaration for Ballistic Body Armor

It is required that the model designation under which this armor model will be sold be identified below.

**Model Designation:** \_\_\_\_\_

On behalf of \_\_\_\_\_, I/we agree to the following conditions and  
*Applicant*  
acknowledge that failure to comply with any of these terms may result in the revocation of NIJ  
compliance status for the model in question:

**1 Materials of Construction and Evidence of Acceptable Ongoing Ballistic Performance:**  
Applicant shall initial one of the following options as applicable to the model identified above:

\_\_\_ Option 1 - The model described herein contains no material named in any NIJ Advisory Notice in effect at the time of submission of this model for NIJ Compliance testing; or

\_\_\_ Option 2 – Applicant has included with this application, evidence (e.g., design drawings and specifications, lists of materials of construction of each component of the model, research, ballistic testing, descriptions of performance characteristics of critical components or materials, etc.) that demonstrates to the satisfaction of NIJ that the model will maintain ballistic performance (consistent with its originally declared threat level) over its declared warranty period (Note: Manufacturers should anticipate that NIJ's review of the evidence may take a substantial amount of time to complete.).

**2 Labeling:** Effective the date that the model is listed on the NIJ Compliant Products List, the applicant hereby agrees to label all subsequent production units of the model listed in this document in accordance with the labeling requirements of the ballistic armor labeling guidance of the *CTP Applicant Package*. Enclosed with this form is a sample production model label that fully satisfies the requirements.

**3 Transition Period Between Revisions to the Standard:** Following the publication of revisions to the standard, manufacturers will have a transition period of 3 months to have their models tested for compliance to the new performance requirements. After the transition period, the NIJ Compliant Products List will only include models found by NIJ to be compliant with the current version of the standard.

**4 General Terms of Maintaining Compliance Status of Individual Models:** If review of this declaration and certification and any accompanying documentation by NIJ or their designee results in this model being found compliant with the requirements of the current version of the standard, the following are conditions for maintaining the NIJ compliance status of this model.

**4.1** The manufacture of all subsequent production units of this model shall be identical in all respects to the samples originally tested and found to comply with the current standard. This includes the ballistic materials (i.e., material type, style, weave, water-repellant treatment, ballistic panel covers, etc.), number and sequence of layers, stitching, and permanent or nonremovable covering (to include waterproofing). Any changes or modifications as listed above to the construction details constitute a design change and therefore must be submitted as a new model. It is recognized that not all changes constitute a design change; however, any change to a model must be requested in writing to the CTP and approved by the CTP prior to making the change.

**4.2** Compliance status of a model is granted and maintained at the discretion of NIJ. The decision as to whether or not to grant compliance status for a product shall be made by NIJ on the basis of the information gathered during the evaluation process and any other relevant information. No party has a legal right to compliance status. NIJ grants or suspends compliance status with the primary purpose of ensuring that law enforcement and corrections officers have the best information available about the safety of equipment tested by the CTP. NIJ reserves the right to decline to issue compliance status for any equipment model that successfully completes the compliance testing process when it is determined by NIJ to be in the best interests of the law enforcement and corrections community. In these cases, NIJ notifies the applicant in writing that compliance status for the model is denied and provides the reason(s) for the denial. Appeals shall be made in accordance with the established procedures.

**4.3** Applicant compliance with all of the CTP requirements is mandatory.

**5 Conformity assessment follow-up process:** Once the armor model is listed on the NIJ Compliant Products List, ongoing compliance will be monitored via a conformity assessment follow-up process that involves periodic sampling and retesting of production armors. Information on this process may be found in the *CTP Applicant Package*.

**Authorized Representative:**

As the applicant's authorized representative, I have the authority to agree to all requirements of this document on the applicant's behalf and attest that all statements are correct and made in good faith.

\_\_\_\_\_  
Signature of Authorized Representative

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name (Please print/type)

**NLECTC–National Representative Acknowledgement:**

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name (Please print/type)

## Attachment D

### Compliance Testing Program Conformity Assessment Follow-Up Agreement

**Model Designation:** \_\_\_\_\_

The NIJ Compliance Testing Program (CTP) conformity assessment follow-up program has two options, and the applicant must agree to one of the two options:

- 1      Option 1 is for applicants whose manufacturing locations do not have a registered Quality Management System (QMS) based on ISO 9000:2000 in conjunction with additional body armor-specific QMS requirements as described in the *CTP Applicant Package*. Periodic sampling and retesting for this option will be conducted 6 times within a 60-month NIJ listing cycle.
  
- 2      Option 2 is for applicants whose manufacturing locations have a registered QMS based on ISO 9000:2000 in conjunction with additional body armor-specific QMS requirements as described in the *CTP Applicant Package*. To demonstrate compliance with CTP QMS requirements, the current certificate of registration/certification must be provided to the CTP. Periodic sampling and retesting for this option will be conducted 3 times within a 60-month listing cycle.

Note: In the event that the manufacturing location(s) becomes registered to BA 9000 QMS, the applicant is required to submit to the CTP a certificate of registration/certification in order to change from Option 1 to Option 2.

**Conformity Assessment Follow-Up Fees**

The applicant is required to pay all appropriate fees associated with the conformity assessment follow-up process as identified the *CTP Applicant Package*.

**Authorized Representative:**

As the applicant's authorized representative, I have the authority to agree to all requirements of this document on the applicant's behalf and attest that all statements are correct and made in good faith.

\_\_\_\_\_  
Signature of Authorized Representative

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name (Please print/type)

**NLECTC–National Representative Acknowledgement:**

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name (Please print/type)