



Criminal Justice Offender Tracking System Certification Program Requirements

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FOREWORD

The U.S. Department of Justice, Office of Justice Programs, National Institute of Justice (NIJ), has developed this document, NIJ CR-1004.00, *Criminal Justice Offender Tracking System Certification Program Requirements*, which specifies the requirements that a certification body (CB) must satisfy in order to act as a product certification body for purposes of NIJ Standard-1004.00, *Criminal Justice Offender Tracking System Standard*.

Those seeking guidance concerning the selection and application of offender tracking systems (OTSs) for criminal justice may wish to refer to NIJ Guide-1004.00, *Criminal Justice Offender Tracking System Selection and Application Guide*, published as a separate document.

NIJ standards are subject to continued research, development and testing, review, and modification as appropriate on an ongoing basis. Users of this document are advised to consult the NIJ Standards and Testing Program webpage, accessed from www.nij.gov/standards, on a regular basis to determine whether the document has been revised or superseded.

Technical comments and recommended revisions are welcome. Please send all written comments and suggestions to: Director, National Institute of Justice, Office of Justice Programs, U.S. Department of Justice, Washington, DC, 20531, ATTN: NIJ Standards and Testing Program.

Nothing in this document is intended to create any legal or procedural rights enforceable against the United States. Moreover, nothing in this document creates any obligation for manufacturers, suppliers, criminal justice agencies, or others to follow or adopt any NIJ voluntary standard.

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1. SCOPE AND PURPOSE

1.1 Scope

1.1.1 This document specifies requirements for compliance determinations under National Institute of Justice (NIJ) Standard-1004.00¹, *Criminal Justice Offender Tracking System Standard* (hereafter, NIJ Standard-1004.00).

1.2 Purpose and Applications

1.2.1 This document addresses accreditation requirements for certification bodies to (1) help ensure consistent application of NIJ Standard-1004.00 and this document, (2) establish uniformity in the certification body accreditation process, and (3) provide transparent criteria for the operation of certification programs and accreditation of product certification bodies.

1.2.2 To acquire or maintain accreditation, certification bodies shall meet, or continue to meet, the requirements established by this document, including any matter incorporated by reference.

1.2.3 The requirements of International Organization for Standardization/International Electrotechnical Commission (ISO/IEC) Guide 65 are hereby incorporated by reference, except as they may conflict with any provision of this document.

1.3 Interpretations

1.3.1 Requests for interpretations of these certification program requirements shall be made in writing to: Director, National Institute of Justice, Office of Justice Programs, U.S. Department of Justice, Washington, DC, 20531, ATTN: NIJ Standards and Testing Program. Additional contact information may be found at www.nij.gov/standards.

1.4 Special Rules

1.4.1 In order to act as a product certification body for purposes of NIJ Standard-1004.00 or this document, it is necessary to be designated as a certification body by NIJ. In the ordinary course, receipt and maintenance of accreditation from an accrediting body automatically confers NIJ designation with no further action by NIJ required.

1.4.2 NIJ reserves the authority to introduce new or revised requirements and to set transition times for compliance with those requirements.

¹ Appendix A provides a flowchart of the certification process. Should there be any discrepancy between the text of this document and the flowchart, the former controls.

- 1.4.3** NIJ reserves the authority to communicate with any criminal justice agency or the public to address officer safety concerns.

2. REFERENCES

The following publications are referenced in this document. For publications listed immediately below with a date, only the edition cited applies. For undated publications, the latest edition of the referenced publication applies, including any amendments.

2.1 ISO/IEC Publications

ISO/IEC Guide 65:1997. *General Requirements for Bodies Operating Product Certification Systems*.

ISO 9000:2005. *Quality Management Systems — Fundamentals and Vocabulary*.

ISO/IEC Guide 23:1982. *Methods of Indicating Conformity with Standards for Third-party Certification Systems*.

ISO/IEC 17000:2004. *Conformity Assessment — Vocabulary and General Principles*.

ISO/IEC 17020. *General Criteria for the Operation of Various Types of Bodies Performing Inspection*.

ISO/IEC 17025. *General Requirements for the Competence of Testing and Calibration Laboratories*.

2.2 NIJ Publications

NIJ Standard-1004.00. *Criminal Justice Offender Tracking System Standard*. Washington, DC: U.S. Department of Justice, Office of Justice Programs, National Institute of Justice.

3. DEFINITIONS

In general, the definitions found in ISO/IEC Guide 65, ISO 9000, and ISO/IEC 17000 are incorporated by reference, except as they may conflict with the definitions below. Some definitions from incorporated matter are included below for convenience.

- 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 17000, 5.6)

- 3.2 Attestation:** Issue of a statement, based on a decision following review, that fulfillment of specified requirements has been demonstrated. (ISO/IEC 17000, 5.2)
- 3.3 Audit:** Systematic, independent, documented process for obtaining records, statements of fact, or other relevant information and assessing them objectively to determine the extent to which specified requirements are fulfilled. (ISO/IEC 17000, 4.4)
- 3.4 Certification:** Third-party attestation related to products, processes, systems, or persons. (ISO/IEC 17000, 5.5)
- 3.5 Certification body (CB):** Any body operating a product certification system. (ISO/IEC Guide 65, 1.1, 1.2)
- 3.6 Certified product:** Any unit of a compliant model.
- 3.7 Certified model listing (CML):** A publicly accessible enumeration of compliant models.
- 3.8 Complaint:** Expression of dissatisfaction, other than an appeal, from any source.
- 3.9 Compliance/Compliant:** The condition of a model's meeting or exceeding all applicable requirements of NIJ Standard-1004.00 as determined pursuant and subject to this document.
- 3.10 Firmware:** (1) Fixed, usually rather small programs and/or data structures that internally control various electronic devices; (2) Software stored in read-only memory (ROM) or programmable ROM (PROM) that often is responsible for the behavior of a system when it is first switched on.
- 3.11 Inspection:** Examination of a product design, product, process, or installation and determination of its conformity with specific requirements or, on the basis of professional judgment, with general requirements. (ISO/IEC 17000, 4.3)
- 3.12 Manufacturer:** A commercial enterprise engaged in fabricating a product.
- 3.13 Mark of conformity:** A legally registered certification mark applied by or issued under the procedures of a third-party certification system for a product or service that is in conformity with specific standards or other technical specifications. (ISO Guide 23, 3.1)
- 3.14 Model:** The manufacturer's design, with unique specifications and characteristics, of a particular item.

- 3.15 Product:** Except where the context indicates otherwise (e.g., in certain ISO documents), the term “product” means one unit of a specific OTS model.
- 3.16 Safety alert:** Notification to users or the public of an actual or potential safety issue with a specific product(s) or model(s), including identification of the product(s) or model(s); a description of the concern, its ramifications, and how it was identified; recommended actions to be taken; and/or other relevant information.
- 3.17 Serial number:** A unique designation applied to a single offender tracking system product that distinguishes it from every other offender tracking system product.
- 3.18 System-level components:** Key parts of an offender tracking system model that, when certified, cannot be changed or modified without first receiving the authorization of the certification body. These items include casings, location methodology apparatus, antennas, communication devices, batteries, straps/attachment pins or devices, transmitters/receivers, and indicators to the participant.
- 3.18.1 Field-replaceable system-level components:** Items that can be replaced without destructively opening the casing (e.g., some batteries, straps).
- 3.19 Supplier:** The party that is responsible for ensuring that products meet and, if applicable, continue to meet, the requirements on which the certification is based. (ISO/IEC Guide 65, 3.1)
- 3.20 Surveillance:** Systematic iteration of conformity assessment activities as a basis for maintaining the validity of the statement of conformity. (ISO/IEC 17000, 6.1)
- 3.21 Suspension:** Temporary invalidation.
- 3.22 Tracking system software:** The various computer programs used to direct the operation of an offender tracking system, especially as it relates to the interface with the end user. These programs may exist within the tracking devices themselves (firmware) or within the manufacturer’s computer systems, and may also be resident on computers controlled by the end user.
- 3.23 Withdrawal:** Revocation or cancellation.

4. GENERAL REQUIREMENTS

- 4.1** Any determination of compliance with NIJ Standard-1004.00 shall be made pursuant and subject to the requirements of this document.

- 4.2** The certification body shall be accredited to the requirements of this document and ISO/IEC Guide 65. Accreditation of the certification body shall be issued by an accreditation body that is a signatory to the International Accreditation Forum (IAF) Multilateral Arrangement (MLA) for the scope of product certification.
- 4.3** To acquire or maintain accreditation, the certification body shall give prior written consent to the accreditation body's provision to NIJ (on its request) of information gained in the course of the accreditation body's activities.
- 4.4** For conducting testing, the certification body shall use only test laboratories that are accredited to ISO/IEC 17025 by an accreditation body that is a signatory to the International Laboratory Accreditation Cooperation (ILAC) Mutual Recognition Arrangement.
- 4.4.1** The test laboratory's scope of accreditation shall include the standard or test method for which it is supplying data.
- 4.4.2** The test laboratory shall be independent of any supplier.
- 4.5** If the certification body elects to use external inspection bodies for conducting manufacturing facility inspections and audits, any such use shall meet the requirements of ISO/IEC 17020.
- 4.6** The certification body shall not process or provide certifications as to compliance with portions or segments of NIJ Standard-1004.00 and shall not allow a supplier to use any reference to NIJ Standard-1004.00 in any statements about its products or models unless the applicable model is compliant.
- 4.7** Prior to any initial determination of compliance, the certification body shall obtain:
- Written consent of the supplier for the certification body to provide to NIJ (on its request) information gained in the course of the certification body's activities relating to the supplier or a particular product or model.
 - Written agreement from the supplier to promptly provide supplier records (see Section 10.1 and 10.3) to NIJ on its request.
- 4.8** The certification body shall promptly provide to NIJ (on its request) any information:
- Pertaining to the compliance of any product or model.
 - Pertaining to its accreditation.
- 4.9** The certification body shall promptly notify NIJ of any product recall notices it receives

under Section 10.

- 4.10** The certification body shall require the supplier to include, prominently, in the user information for each certified product the following:

“Potential purchasers and users are strongly advised to consult the NIJ Standards and Testing Program webpage, accessed from www.nij.gov/standards, and to review carefully any safety notice or other advisory that NIJ may have issued concerning criminal justice offender tracking systems.”

5. INITIAL DETERMINATION OF COMPLIANCE

- 5.1** The certification body shall have a program for initial determination of compliance of models.

- 5.2** At a minimum, the program shall include inspection, audit, and testing as required by NIJ Standard-1004.00 and this document, including the following:

- Labeling and marking as specified in Section 8.
- Supplier’s applicable manufacturing facilities.
- Supplier’s management systems as specified in Section 10 and related procedures, records, and documentation.

6. INSPECTION, AUDIT, AND TESTING

- 6.1** For both initial determination of compliance and surveillance, the certification body shall conduct inspection, audit, and testing as specified in this section or otherwise in this document.

- 6.2** Where feasible, surveillance inspections of manufacturing facilities, and related audits, shall be unannounced.

- 6.3** Inspection shall include the following:

- Review of applicable form and fit requirements under NIJ Standard-1004.00 for at least one offender tracking system.
- Review of required product labels under NIJ Standard-1004.00 for at least one offender tracking system.

- Review of any manufacturing facilities.

6.4 Audit shall include a review of the following:

- Applicable form and fit requirements under NIJ Standard-1004.00.
- Required user information and technical data package under NIJ Standard-1004.00.
- Supplier's management systems as specified in Section 10 and related procedures, records, and documentation.

6.5 The certification body shall not use specimens (i.e., conditioned samples) or test results provided by a supplier.

7. CERTIFIED MODEL LISTING

7.1 The certification body shall maintain a certified model listing of applicable models, including a web-based listing.

7.2 Any certified model listing shall display the following prominently:

“Potential purchasers and users are strongly advised to consult the NIJ Standards and Testing Program webpage, accessed from www.nij.gov/standards, and to review carefully any safety notice or other advisory that NIJ may have issued concerning criminal justice offender tracking systems.”

8. LABELING AND MARKING

8.1 The certification body shall not authorize suppliers to use any mark of conformity or reference to the certification body on any product other than a certified product.

8.1.1 The certification body shall require its mark of conformity to be part of, attached to, or immediately adjacent to a product label that otherwise satisfies the requirements for labeling in NIJ Standard-1004.00.

8.1.2 The certification body shall require its mark of conformity to be legibly printed.

9. SURVEILLANCE REQUIREMENTS

- 9.1** The certification body shall have a surveillance program for compliant models to determine continued compliance, and all such models shall undergo surveillance.
- 9.2** At a minimum, the surveillance program shall include inspection and audit as specified in Section 6 at least every two years.
- 9.2.1** Based on findings from the inspection and audit, the certification body shall determine which tests from NIJ Standard-1004.00 are required to be performed, if any, to demonstrate continued compliance.
- 9.3** The certification body may use products from the supplier's production line or inventory, or from the open market, for surveillance inspection and surveillance testing.
- 9.4** The certification body shall require the supplier to submit any proposed system-level hardware component change(s) to a compliant model and related documentation prior to implementation of a change. The certification body shall evaluate the change(s) and impact to the model and determine (1) which tests are required to be performed, if any, to demonstrate continued compliance, or (2) if the change is so significant that the change will result in a new model.
- 9.5** The certification body shall require the supplier to document and track any firmware change(s), including defect repairs, security patches, upgrades, or enhancements. The certification body shall require the supplier to submit documentation of the change on a frequency not to exceed every six months. During surveillance, the certification body shall evaluate and make a determination on testing that may be required.

10. SUPPLIER'S MANAGEMENT SYSTEM

- 10.1** The certification body shall verify that the supplier has implemented a documented supplier management system (with respect to manufacturing offender tracking systems), which includes at a minimum the following:
- Document control system that tracks and identifies the most current revision of design specifications.
 - Traceability on any components that could impact the end product's compliance with the requirements.
 - Documented job responsibilities and authorities for approving changes to compliant models.

- 10.2** The certification body shall require that the supplier have in place a documented product recall process to be used in the event that the supplier decides, or is required by the certification body, to issue a product recall. The product recall process shall satisfy the certification body.
- 10.3** The certification body shall require suppliers to maintain at least the following records for a minimum of five years:
- Information provided by the certification body relating to the supplier or a particular product or model.
 - Information prepared in response to the certification body's certification program-related activities.
 - Returns and complaints related to certified products and actions taken in response.
 - Documentation related to certified product recall.
 - Every *OTS Certified Product Data Sheet and Supplier Attestation*² for each certified product sold or leased by the supplier.

11. REPORTS OF NONCOMPLIANCE, LACK OF FITNESS FOR INTENDED PURPOSE, FAILURE IN USE, OR SAFETY ISSUES

- 11.1** The certification body shall establish procedures for dealing with reports (or indications) from any source, including surveillance, that certified products are noncompliant, are unfit for the intended purpose, have failed in use, or involve a safety issue.
- 11.2** When a report under Section 11.1 is received by the certification body, the credibility of the report shall be investigated.
- 11.2.1** When investigation reveals that the report is other than frivolous, the certification body shall notify NIJ promptly, providing, at minimum, supplier name(s), model number(s), and the substance of the allegation(s).
- 11.3** The certification body shall require the supplier promptly to notify it in writing whenever the supplier determines that a certified product may be noncompliant, be unfit for the intended purpose, have failed in use, or involve a safety issue. The certification body shall require the supplier to provide information about its review to assist the certification body with its investigation.

² Refer to NIJ Standard-1004.00.

11.3.1 The certification body shall require the supplier to notify it of any safety alert or certified product recall not initiated by the certification body as soon as the decision to issue the same has been made.

11.4 If the investigation reveals the certified product to be noncompliant, to be unfit for the intended purpose, to have failed in use, or to involve a safety issue, and action is indicated, the certification body, with prompt notice to NIJ, shall take at minimum one or more of the following actions:

- Require the supplier to issue a safety alert, when, in the opinion of the certification body, such an alert is necessary or advisable to inform users or the public.
- Require the supplier to issue a product recall, when, in the opinion of the certification body, such a recall is necessary or advisable to protect users or the public.
- Suspend or withdraw the model certification.
- Remove the product from its certified model listing or annotate its certified model listing entry, as appropriate, to explain the action(s).
- Take such action(s) as may be appropriate.

The certification body shall provide a report to NIJ of its findings and related information promptly on request.

APPENDIX A. CERTIFICATION PROCESS FLOWCHART

