



The Child and Adult Food Care Program (CACFP)

National Disqualified List (NDL)

User Manual for Sponsoring Organizations

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Prepared by:
Child Nutrition Programs
Program Monitoring and Operational Support

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1 Introduction

Section 243(c) of Public Law 106-224, the Agricultural Risk Protection Act of 2000, amended § 17(d)(5) of the Richard B. Russell National School Lunch Act (42 U.S.C. 1766 (d)(5)(E)(i) and (ii)) by requiring the U.S. Department of Agriculture (USDA) to maintain a list of institutions, day care home providers, and individuals that have been terminated or otherwise disqualified from Program participation. The law also required USDA to make the list available to State agencies for their use in reviewing applications to participate and to sponsoring organizations to ensure that they do not employ as principals any persons who have been disqualified from the Program. This statutory mandate has been incorporated into § 226.6(c)(7) of the Program regulations.

The purpose of maintaining a National Disqualified List (NDL) and making it available to State agencies and sponsoring organizations is to provide these entities with a tool for promoting Child and Adult Care Food Program (CACFP) integrity by preventing several situations from occurring. First, it prevents institutions whose Program agreements were terminated for cause in one State from simply moving to another State and reapplying for Program participation. Second, it prevents individuals responsible for serious mismanagement from continuing to be involved in Program administration by forming a new corporate entity and entering the Program under a different organizational name. Third, it prevents individuals associated with a disqualified institution from re-entering the Program as a day care home provider, as a principal with another institution, or as a principal in a sponsored center. Finally, it prevents day care

home providers terminated for cause by one sponsoring organization from re-entering the Program under the auspices of a different sponsoring organization.

The NDL is a web-based system designed for use by various user types to add, update, search and view the data of disqualified individuals and institutions. Specifically, sponsoring organization users have the ability to access individual and institution disqualified lists and perform searches.

2 NDL System Access

The NDL system integrates with the USDA's e-Authentication system. Sponsoring organization users need e-Authentication level one clearance to access the NDL system. Users can obtain an e-Authentication credential at <https://www.eauth.usda.gov/mainpages/eauthWhatIsAccount.aspx> For questions or problems with obtaining e-Authentication credentials, contact your State agency.

2.1 User Login (Figure 1)

Users must enter the following website to login the NDL system: <https://snp.fns.usda.gov/ndlweb/Welcome.action>. Then, users must enter their username and password to access the NDL system.

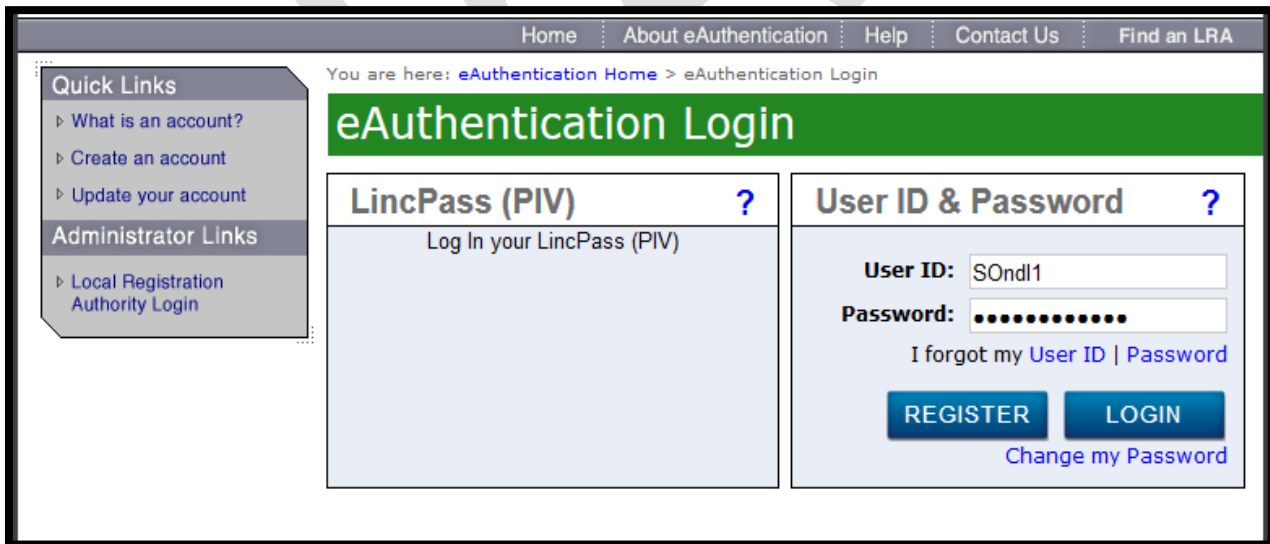


Figure 1: e-Authentication Login Screen

3 Welcome Page (Figure 2)

Successful login brings the user to the Welcome Page of the NDL. The Welcome Page displays the regulatory language that gives USDA the authority and responsibility for maintaining the NDL. From this page, use the navigation bar on the left to access the individual and institution disqualified lists, conduct a search of institution or individual records, and conduct a bulk search of disqualified institutions or individuals.

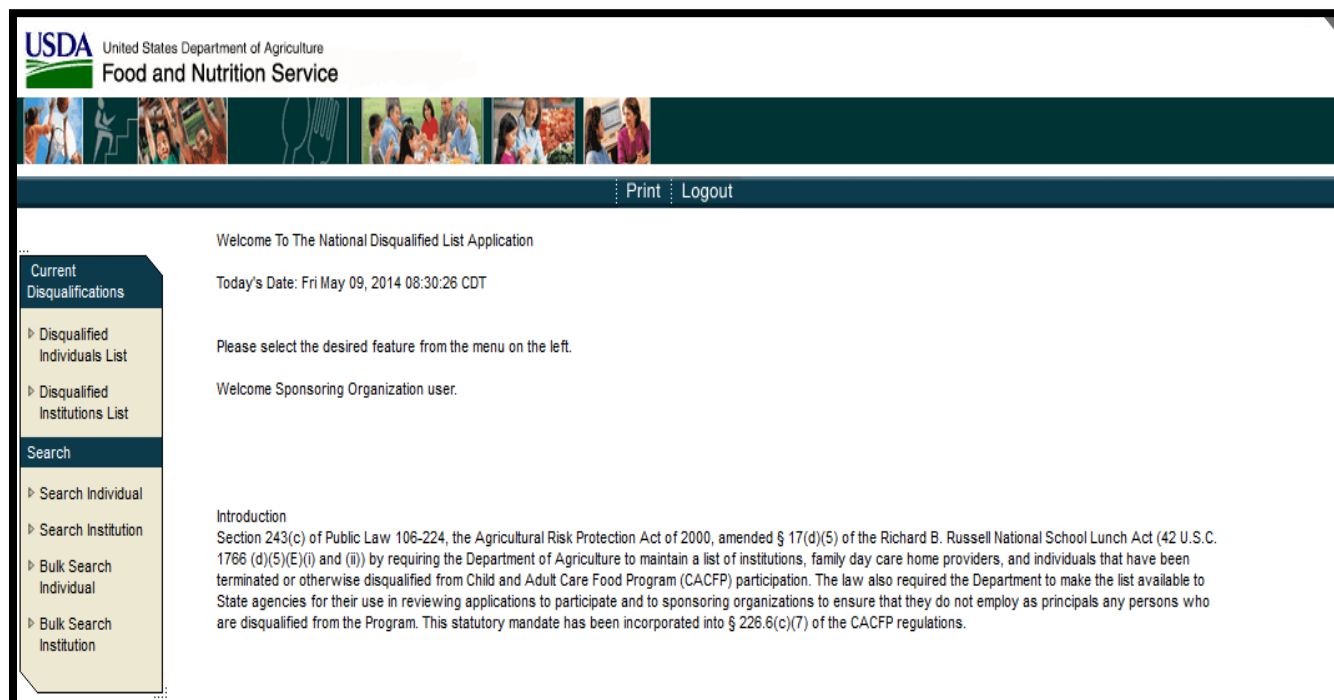


Figure 2: Welcome Page

The side navigation bar displays the options available:

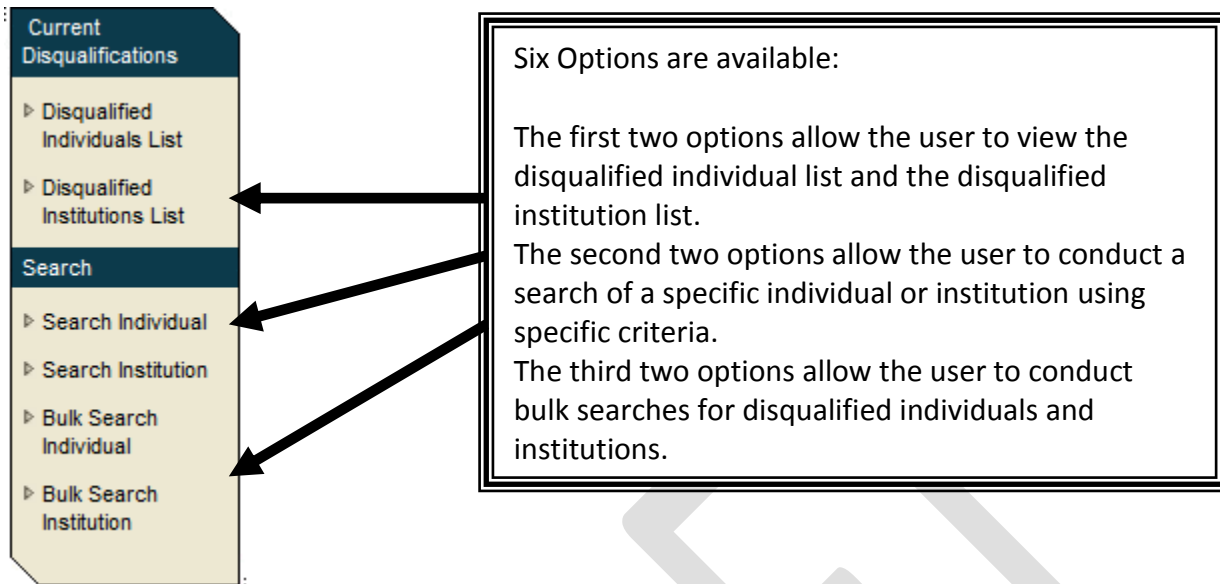


Figure 2: Welcome Page (continued)

4 Accessing the Disqualified Lists

To access the disqualified lists, the user clicks on “Disqualified Individuals List” or “Disqualified Institutions List” from the navigation bar.

4.1 Disqualified Individuals List (Figure 3)

The Disqualified Individuals List is a list of all the responsible principals and individuals (RPI) disqualified from participation in the CACFP. The list displays in alphabetical order by last name and shows the first and last name, address, termination date of the individual, a “yes or no” indicator under debt owed and other legal names, if any. Click on the “First Name”, “Termination Date” or “Debt Owed” to change the order in which the list is displayed. The user can maneuver the list by selecting numbers at the top or bottom of the page or by selecting the next or last page.



Figure 3: Disqualified Individuals List

4.2 Disqualified Institutions List (Figure 4)

The Disqualified Institutions List is a list of all the institutions disqualified from participation in the CACFP. The list displays in alphabetical order the institution's name, address, termination date of the institution, a "yes or no" indicator under debt owed and other institution names, if any. Click on "Termination Date" or "Debt Owed" to change the order in which the list is displayed. The User can maneuver the list by selecting numbers at the top or bottom of the page or by selecting the next or last page.

Institution Name	Address	Termination Date	Debt Owed	Institution Other Names
------------------	---------	------------------	-----------	-------------------------

Figure 4: Disqualified Institutions List

4.3 Export Results

The NDL or the results of a search may be exported to an Excel spreadsheet by clicking the "Export Report" in the right hand corner of the screen.

5 Search Function (Individuals)

5.1 Search for an Individual (Figure 5)

To perform a search of an individual:

1. Click on Search Individual in the left hand menu;
2. Enter the search criteria via text entry, checkbox and drop down selections;
3. Click on the Submit button.

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Food and Nutrition Service

Print Logout

You Are Here: Advanced Individual Search

Advanced Individual Search

Personal Information

First Name:
Enter Data Starts

Last Name:
Enter Data Starts

Date of Birth:
mmdyyyyy

Disqualification Information:

Program Type
Select One

Status
Select One

State Agency Imposing Disqualification
Select One

Region
Select One

Type of Individual Disqualification
Select One

Debt Owed
Select One

Termination Date
mmdyyyyy

Submission of false claims for reimbursement
 Submission of false information on the application
 Simultaneous participation under more than one sponsoring organization
 Other
 Failure to keep required records
 Non-compliance with the Program meal pattern
 A determination that the day care home has been convicted of any activity that occurred during the past seven years and that indicated a lack of business integrity. A lack of business integrity includes fraud, antitrust violations, embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, receiving stolen property, making false claims, obstruction of justice, or any other activity indicating a lack of business integrity as defined by the State agency, or the concealment of such a conviction
 Conduct or conditions that threaten the health or safety of a child(ren) in care, or the public health or safety
 Failure to participate in training
 Any other circumstance related to non-performance under the sponsoring organization-day care home agreement, as specified by the sponsoring organization or the State agency

Address

*Street Number:
Enter Data

*Street Name/PO Box Number:
Enter Data

City
Enter Data Starts

State/Province
Select One

Select Result List Size
25

Submit Cancel

NDL | USDA.gov | FNS Home |
FOIA | Accessibility Statement | Privacy Policy | Non-Discrimination Statement | Information Quality |

© NDL is meant for the FNS community and other authorized users. Access by others will be prosecuted to the fullest extent of the law.

Figure 5: Search Individual

5.1.1 No Match Result (Figure 6)

The NDL system alerts the user when a search produces a “No Match”. Users can return to the search function by selecting “Return to Criteria” or return to the welcome page by selecting “Home”.

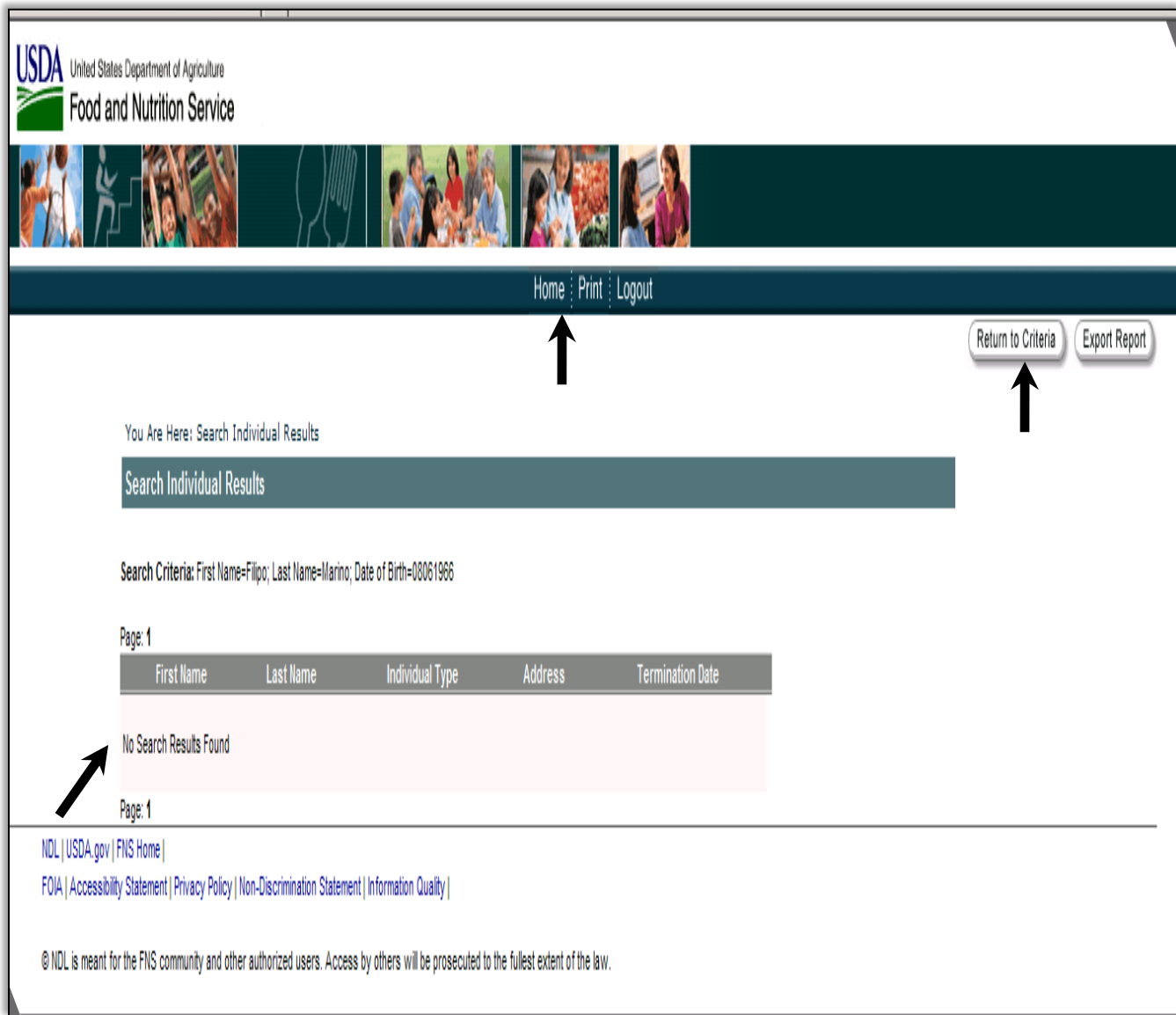


Figure 6: Search Individual - No Match

5.1.2 Match Results

The following screen is displayed when a search produces matches.

USDA United States Department of Agriculture
Food and Nutrition Service

Print Logout

Return to Criteria Export Report

You Are Here: Individual Search Results

Individual Search Results

Search Criteria: State Agency Imposing Disqualification=Maryland

URI: /SearchIndividual.action

112 records found, displaying 1 to 25.
[First/Prev] 1, 2, 3, 4, 5 [Next/Last]

Individual ID	First Name	Last Name	Individual Type	Address	Termination Date	Debt Owed	Other Legal Names	Status	Pending Status	Dupe RPI
9284	Chanda	Adkisson	Institution RPI	Hillsway Ave Baltimore, MD 21234-5911	04/18/2010	No		Removed		No
12690	Candice	Anderson	Institution RPI	Main Street Largo, MD 20770	07/07/2013	No		Disqualified		No
12691	Candice	Anderson	Institution RPI	Second Ave Bowie, MD 20775	05/05/2013	No		Disqualified		Yes
12670	Ray	Anderson	Institution	Anderson	01/12/2013	No		Deleted		No

Figure 7: Search Individual – Match Found

5.1.3 View Individual (Figure 8)

The “View Individual” screen provides additional information associated with the disqualified individual (that is not personally identifiable information (PII) data (i.e., birth dates).

View Individual:

This section displays the full name of the disqualified individual and his/her status (i.e., Disqualified, Removed or Pending). The status “Removed” means the individual is no longer on the list. The Sponsoring Organization should monitor individuals who have been removed from the list to ensure that Serious Deficiencies do not recur. The status “Pending” means the State agency submitted the individual for disqualification but the FNS Regional Office has not yet approved the disqualification. The status changes to “Disqualified” after FNS Regional Office approves the disqualification of the individual.

Other Personal Information:

This section displays the individuals’ other legal names, address, address verification result, date validated and the staff who validated the address. Validation results reveal whether or not the NDLE system recognizes the address. If the system recognizes the address, it populates the field with "validated". If the system does not recognize the address, the State agency user can alter the address or override the validation.

Disqualification Information:

This section displays the respective FNS Regional Office, State agency, termination date of the individual, the type of individual disqualification (i.e., FDCH Provider, Independent or Institution Responsible Principal or Individual (RPI)) debt owed, original debt amount, amount paid, and date debt paid in full.

- The “Debt Owed” field indicates if the individual owes a debt.
- If an individual owes a debt, the State agency user will be required to enter the original debt amount.
- The “Amount Paid” is an optional field that the FNS user can complete when payment is received.
- When the debt is paid in full, the FNS user enters the date the final payment was made in the “Date Debt Paid in Full”. After the debt, including interest, is paid in full and date of final payment is recorded in the system, the individual will be removed from the NDL 7 years from the effective date of termination or the date the debt is paid in full if greater than 7 years.
- The NDL system displays the disqualification reason(s) at the bottom of the screen, as well as any comments entered.

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Print Logout

Return to Criteria Return to Results

You Are Here: View Individual

View Individual

Individual Name: Chanda Adkisson
Disqualification Status: Removed
Pending Action Status:

Other Personal Information

Other Legal Names:
 NONE

Address:
 Hillsway Ave
 Baltimore, Maryland 21234
 United States of America.

Validation Result : Validated
Date Validated : NONE
Validated By : mwagner

Disqualification Information

Region: Mid Atlantic

Termination Date: 04/18/2010

Type of Individual Disqualification: Institution RPI

Debt Owed: No
Original Debt Amount (In US Dollars): NONE
Amount Paid (In US Dollars): NONE
Date Debt Paid In Full : NONE

Name of Provider's Sponsoring Organization: Hillendale Child Development
Individual's Title with Organization: President

State Agency Imposing Disqualification: Maryland

Contact Information:
 1) School and Community Nutrition Programs
 Chief
 200 West Baltimore Street
 Baltimore
 Phone: 4107670199
 Fax: 4103332635
 Email:

2) State Department of Education
 Chief
 Baltimore
 Phone: 4107670199
 Fax: 4103332635
 Email:

Comments:
 please remove

Status Comments:
 please remove

Files have not been uploaded.

No supporting documentation has been uploaded.

Figure 8: View Individual

6 Search Function (Institutions)

6.1 Search for an Institution (Figure 9)

To perform a search of an institution:

1. Click on Search Institution in the left hand menu;
2. Enter the search criteria via text entry, checkbox and drop down selections;
3. Click on the Submit button.

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Print Logout

You Are Here: Search Institution

Search Institution

Institution Information:

Institution Name:

Enter Data Starts

Type of Institution:

Select One

Disqualification Information:

Program Type

Select One

Status:

Select One

State Agency Imposing Disqualification:

Select One

Region:

Select One

Debt Owed:

Select One

Termination Date

mmdyyyy

Failure to comply with the bid procedures and contract requirements of applicable Federal procurement regulations

Submission of false information on the institution's application, including but not limited to a determination that the institution has concealed a conviction for any activity that occurred during the past seven years and that indicates a lack of business integrity. A lack of business integrity includes fraud, antitrust violations, embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, receiving stolen property, making false claims, obstruction of justice, or any other activity indicating a lack of business integrity as defined by the State agency

Failure by a sponsoring organization to properly train or monitor sponsored facilities in accordance with \$226.16(d);

Failure to properly implement and administer the day care home termination and administrative review provisions set forth at paragraph \$226.6(i) and \$226.16(i)

Failure to return to the State agency any advance payments that exceeded the amount earned for serving eligible meals, or failure to return disallowed start-up or expansion payments

Failure to adjust meal orders to conform to variations in the number of participants

Conviction of the institution or any of its principals for any activity that occurred during the past seven years and that indicates a lack of business integrity. A lack of business integrity includes fraud, antitrust violations, embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, receiving stolen property, making false claims, obstruction of justice, or any other activity indicating a lack of business integrity as defined by the State agency

Failure of a sponsoring organization to disburse payments to its facilities in accordance with the regulations at \$226.16(g) and (h) or in accordance with its management plan

Claiming reimbursement for meals served by a for-profit child care center or a for-profit outside-school-hours care center during a calendar month in which less than 25 percent of the children in care (enrolled or licensed capacity, whichever is less) were eligible for free or reduced-price meals or were title XX beneficiaries

Use of day care home funds by a sponsoring organization to pay for the sponsoring organization's administrative expenses

Failure to operate the Program in conformance with the performance standards set forth in paragraphs (b)(1)(xviii) and (b)(2)(vii) of \$226.6

The fact the institution or any of the institution's principals have been declared ineligible for any other publicly funded program by reason of violating that program's requirements. However, this prohibition does not apply if the institution or the principal has been fully reinstated in, or is now eligible to participate in, that program, including the payment of any debts owed

Failure by a sponsoring organization of day care homes to properly classify day care homes as tier I or tier II in accordance with \$226.15(f);

Failure to perform any of the other financial and administrative responsibilities required by \$226.6

Permitting an individual who is on the National disqualified list to serve in a principal capacity with the institution or, if a sponsoring organization, permitting such an individual to serve as a principal in a sponsored center or as a day care home

Failure to maintain adequate records

Claiming reimbursement for meals not served to participants

Claiming reimbursement for a significant number of meals that do not meet Program requirements

Claiming reimbursement for meals served by a for-profit adult day care center during a calendar month in which less than 25 percent of its enrolled adult participants were title XIX or title XX beneficiaries

Use of a food service management company that is in violation of health codes

Any other action affecting the institution's ability to administer the Program in accordance with Program requirements

Other

Address:

*Street Number:

*Street Name/PO Box Number:

City

Enter Data Starts

State/Province

Select One

Select Result List Size

25

Figure 9: Search Institution

6.1.1 No Match Result (Figure 10)

The NDL system alerts the user when a search produces a “No Match”. Users can return to the search function by selecting “Return to Criteria” or the welcome page by selecting “Home”.

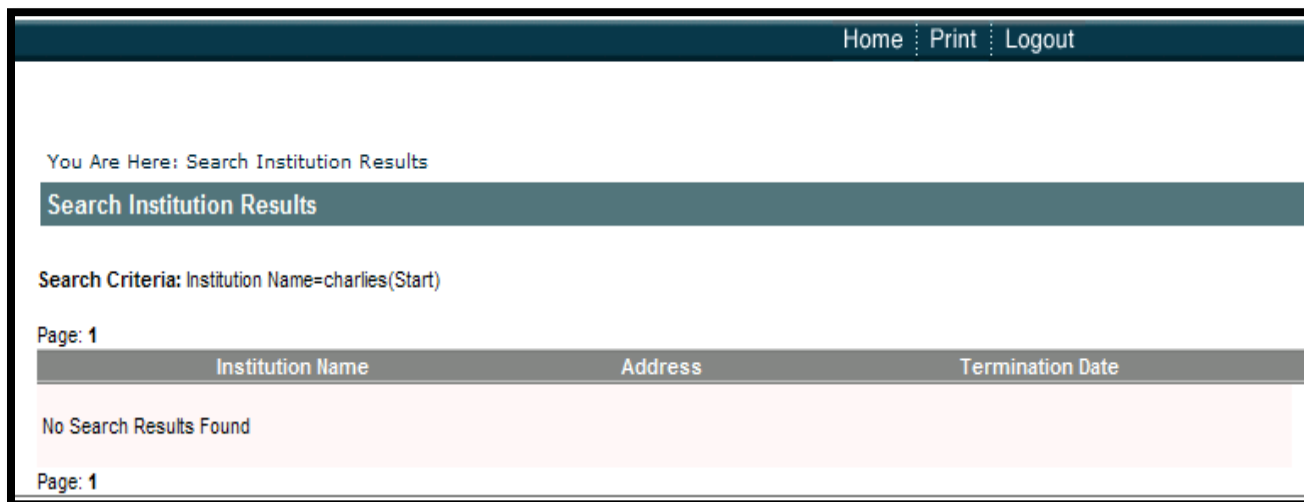


Figure 10: Search Institution - No Match

6.1.2 Match Result (Figure 11)

The following screen is displayed when the search results in a match.

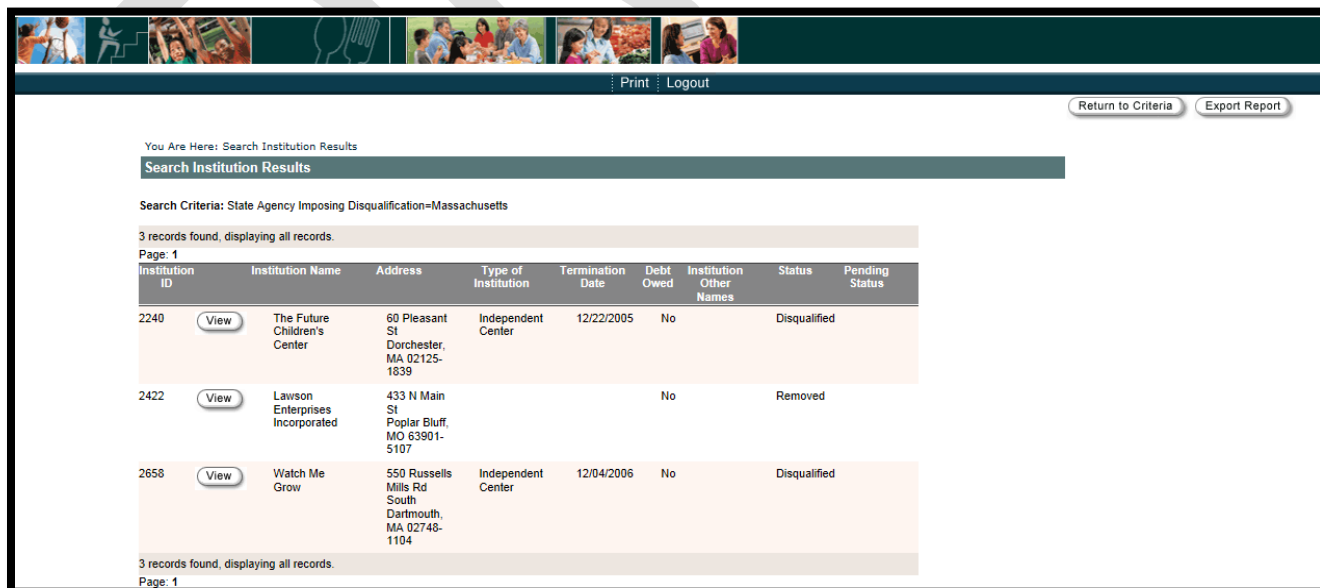


Figure 11: Search Institution - Match Found

6.1.3 View Institution (Figure 12)

The “View Institution” screen provides additional information associated with the disqualified institution.

View Institution:

This section displays the full name of the disqualified institution and its status (i.e., Disqualified, Removed or Pending). The status “Removed” means the institution is no longer on the list. The status “Pending” means the State agency submitted the institution for disqualification but the FNS Regional Office has not yet approved the disqualification.

Other Institution Information:

This section displays the institutions’ other names (if any), address, address verification result, date validated and the staff who validated the address. Validation results reveal whether or not the NDL system recognizes the address. If the system recognizes the address, it populates the field with "validated". If the system does not recognize the address, the State agency user can alter the address or override the validation.

Disqualification Information:

This section displays the respective FNS Regional Office, termination date of the institution, debt owed, original debt amount, amount paid, and date debt paid in full.

- The “Debt Owed” field indicates if the institution owes a debt.
- If an institution owes a debt, the State agency is required to enter the original debt amount.
- The “Amount Paid” is an optional field that the FNS user can complete when payment is received.
- When the debt is paid in full, the FNS user enters the date the last payment was made in the “Date Debt Paid in Full”. After the debt, including interest, is paid in full, the institution will automatically be removed from the NDL 7 years from the effective date of termination the date the debt was paid if greater than 7 years.
- The NDL system displays the disqualification reason(s) at the bottom of the screen, as well as any comments entered.

Responsible Principals or Individuals (RPI):

The section displays the RPI responsible for the disqualification, as well as the person’s title within the institution and if the person is responsible for the debt. This section also includes other legal names and the address of the RPI.

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Print Logout

[Return to Criteria](#) [Return to Results](#)

You Are Here: View Institution

View Institution

Institution Name: Christ Temple Church
 Disqualification Status: Disqualified
 Pending Action Status:

Other Institution Information

Type of Institution: Independent Center
 DUNS Number: 213980774
 FEIN Number: NONE
 Other Business Names:
 Excel Child Care

Address:
 701 Cherry Hill Rd
 Baltimore, 21225
 United States of America

Validation Result: Validated
 Date Validated: NONE
 Validated By: mwagner

Disqualification Information

Region: Mid Atlantic
 Termination Date: 04/08/2005

Debt Owed: No
 Original Debt Amount (in US Dollars): NONE
 Amount Paid (in US Dollars): NONE
 Date Debt Paid In Full: NONE

State Agency Imposing Disqualification: Maryland
Contact Information:
 1) School and Community Nutrition Programs
 Chief
 200 West Baltimore Street
 Baltimore
 Phone: 4107670199
 Fax: 4103332635
 Email:
 2) State Department of Education
 Chief
 Baltimore
 Phone: 4107670199
 Fax: 4103332635
 Email:

Disqualification Reasons:

1) Failure to perform any of the other financial and administrative responsibilities required by §226.6
 2) Failure to return to the State agency any advance payments that exceeded the amount earned for serving eligible meals, or failure to return disallowed start-up or expansion payments

Comments:
 NONE
Status Comments:
 Please remove

Files have not been uploaded.

Review Support Documents

[Support Doc](#)

Responsible Principals or Individuals

Figure 12: View Institution

7 Bulk Search Individual

7.1 Bulk Search for an Individual

When you click the “Bulk Search Individual” left-side menu option, you are taken to a screen that allows you to upload a comma delimited file for bulk individual searching of the disqualified lists. The bulk matching file must be a comma-separated values (CSV) file with a .txt extension. Each record in the CSV file should follow the format: `first_name,last_name,date_of_birth`. The data of birth format must be `yyyymmdd`. Sample record - `John,Crane,19661022`.

The results screen shows all matches from your search requests as well as any validation errors for records with bad data.

Input:

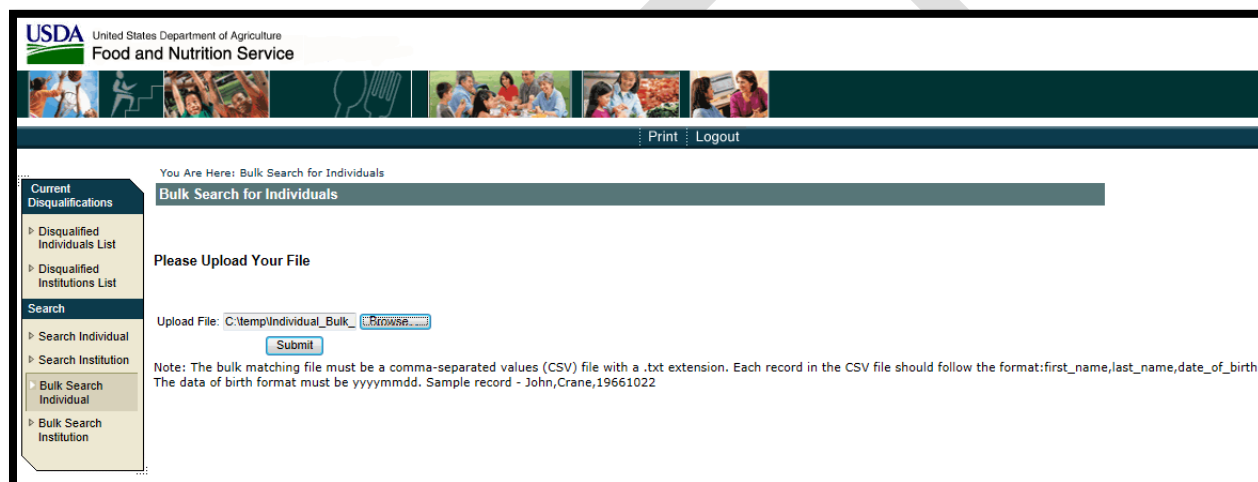


Figure 13: Bulk Search Individual

7.1.2 Results

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Food and Nutrition Service

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Bulk Individual Match File Processed
File Name : Individual_Bulk_Match.txt
Content Type : text/plain

Individual Bulk Matching Results
3 records found, displaying all records.
Page: 1

First Name	Last Name	Date of Birth	Termination Date	Street Name	City	Zip Code
Paul	Lindsey	1966-10-01		Willow Lane	Portland	97021
Joyce	Reed	1948-12-01		Archer Blvd	Salem	97330
Anthony	Strabo					

3 records found, displaying all records.
Page: 1

Individual Bulk Matching Validation Results
Record 6: Terry, Sherbondy, 45619550401: Invalid because Date of Birth format must be yyyyMMdd
Record 7: Mike, Wagner, 04011973: Invalid because Date of Birth format must be yyyyMMdd

Figure 14: Bulk Search Individual Results

8 Bulk Search Institution

8.1 Bulk Search for an Institution

When you click the “Bulk Search Institution” left-side menu option, you are taken to a screen that allows you to upload a comma delimited file for bulk institution searching of the disqualified lists. The bulk matching file must be a comma-separated values (CSV) file with a .txt extension. Each record in the CSV file should follow the format: organization_name, street_name, city, zip_code, fein or duns number. Be sure to not include street numbers or a zip code suffix such as 36301-8023. Sample records: Nettles Academy, Lagrand Dr, Dothan, 36301, 123

The results screen shows all matches from your search requests as well as any validation errors for records with bad data.

Input:

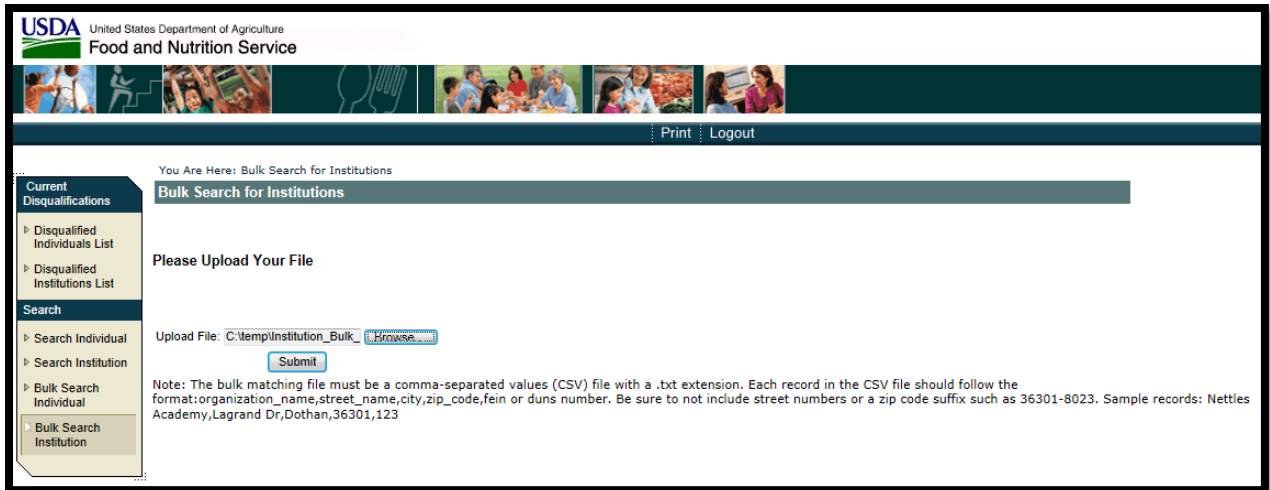


Figure 15: Bulk Search Institution

8.1.1 Results

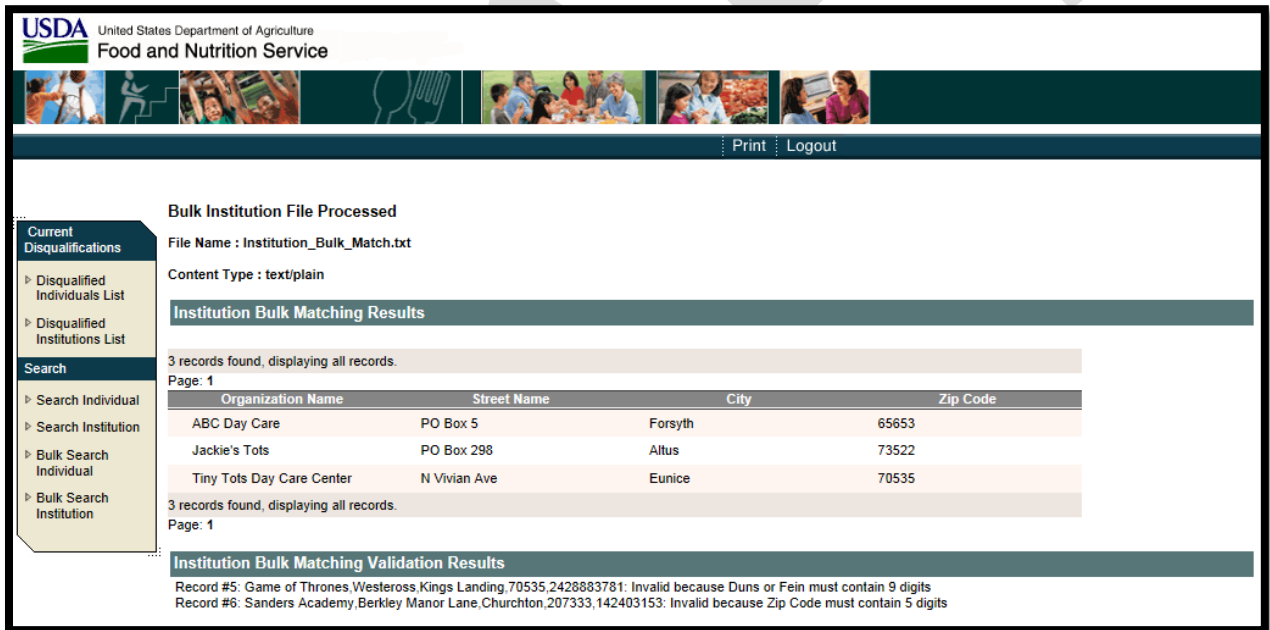


Figure 16: Bulk Search Institution Results