

Provisional Assisted Living Licensure Application Checklist

General Instructions

This checklist provides guidance for gathering all items needed to submit an application for either a Provisional Assisted Living Facility (PALF) license or for a Provisional Assisted Living Facility with Dementia Care (PALFDC) license.

If an applicant provides inaccurate or incomplete information on the application, the commissioner of health may deny, revoke, suspend, restrict or refuse to renew the license or impose conditions according to [Minnesota Statutes, chapter 144G.15 \(https://www.revisor.mn.gov/statutes/cite/144G.15\)](https://www.revisor.mn.gov/statutes/cite/144G.15).

Instructions for attachments

Applicants must upload the application and required attachments to the [MDH Facility and Provider Licensing System \(https://hrdlicensing.web.health.state.mn.us\)](https://hrdlicensing.web.health.state.mn.us).

The items on the checklist are organized by corresponding section from the provisional application and assisted living plan submittal form. If the applicant submits more than one attachment for the same section, the attachments should contain both its corresponding checklist section name and a letter. For example, if the applicant has two documents to attach for the **applicant information** section, the first document should be labeled “Applicant Information section Attachment A” and the second document should be labeled “Applicant Information section Attachment B.”

Keep a copy of the application and attachments for your records. Application and attachment materials will not be returned to the applicant.

Attach the following items from the Provisional Application:

Applicant information

Item to Attach	Additional Information
<input type="checkbox"/> IRS SS-4 form	Federal tax ID (FEIN) registered with the IRS.
<input type="checkbox"/> Executed Lease	Only if the physical address is rented or leased.

Capacity

Item to Attach	Additional Information
<input type="checkbox"/> Assisted Living Licensure Application Addendum: Building Information	Only if the licensee is applying for a campus license. Fill out and attach one form for EACH building.

Uniform Disclosure of Assisted Living Services & Amenities (UDALSA)

Item to Attach	Additional Information
<input type="checkbox"/> UDALSA	The UDALSA form must be saved as a noneditable PDF before it can be uploaded to the system. If you can see the fillable fields within the PDF, it is still editable. To save it as a noneditable PDF, right-click on the file and open it with a browser, and then print the file as a PDF. Upload the resulting file.

Managerial Official/Agent

Item to Attach	Additional Information
<input type="checkbox"/> Copy of management company agreement	Only if the licensee has an agreement with a Manager or Managing Agent to act on behalf of the licensee in the on-site management of the assisted living facility.

Business Entity Type

Item to Attach	Additional Information
SOLE PROPRIETORSHIP <input type="checkbox"/> Copy of the certificate of doing business under an assumed name (if applicable) FOR-PROFIT & NON-PROFIT CORPs <input type="checkbox"/> Copy of the certificate of doing business under an assumed name (if applicable) <input type="checkbox"/> Copy of the certificate of incorporation <input type="checkbox"/> Brief description of the organizational structure of the agency & organizational chart	Only send the necessary attachments based on your business's legal entity type as registered with the Minnesota Office of the Secretary of State.

PROVISIONAL LICENSE CHECKLIST FOR ASSISTED LIVING PROVIDERS

Item to Attach	Additional Information
<p>FOR-PROFIT & NON-PROFIT LLC</p> <ul style="list-style-type: none"> <input type="checkbox"/> Copy of the certificate of doing business under an assumed name (if applicable) <input type="checkbox"/> Copy of the most current articles of organization <input type="checkbox"/> Complete list of all board members, managers, and members (owners) indicating position or title of each and the % of ownership of each <input type="checkbox"/> If the LLC will be managed by managers who are not members, a copy of the existing management agreement <input type="checkbox"/> Brief description of the organizational structure of the agency & organizational chart <p>PARTNERSHIP</p> <ul style="list-style-type: none"> <input type="checkbox"/> Copy of the certificate of doing business under an assumed name (if applicable) <input type="checkbox"/> Specification of type of partnership <input type="checkbox"/> Complete list of partners <input type="checkbox"/> If the LLC will be managed by managers who are not members, a copy of the existing management agreement <input type="checkbox"/> Brief description of the organizational structure of the agency & organizational chart <p>STATE/COUNTY/CITY/TRIBAL/CHURCH HEALTH DISTRICT OR AUTHORITY</p> <ul style="list-style-type: none"> <input type="checkbox"/> Copy of the certificate of doing business under an assumed name (if applicable) <input type="checkbox"/> Brief description of the organizational structure of the agency & organizational chart 	<p>Only send the necessary attachments based on your business's legal entity type as registered with the Minnesota Office of the Secretary of State.</p>

Direct and Indirect Owners

Item to Attach	Additional Information
<input type="checkbox"/> Assisted Living Licensure Application Addendum: Additional Direct or Indirect Owner Information	Only if <i>additional</i> direct or indirect owners need to be identified.
<input type="checkbox"/> Legal name of direct or indirect owner <input type="checkbox"/> Written explanation & copy of disciplinary action	Only if an owner was convicted or had any disqualifying situations, a written explanation including the reason for action taken, dates, and the jurisdiction in possession of the record, along with a copy of the disciplinary action must be submitted.

Managerial Officials and Controlling Individuals

Item to Attach	Additional Information
<input type="checkbox"/> Assisted Living Licensure Application Addendum: Additional Managerial Officials and Controlling Individuals Information	Only if <i>additional</i> managerial officials or controlling individuals need to be identified.
<input type="checkbox"/> Legal name of the managerial official or controlling individual <input type="checkbox"/> Written explanation & copy of disciplinary action	Only if an individual was convicted or had any disqualifying situations, a written explanation including the reason for action taken, dates, and the jurisdiction in possession of the record, along with a copy of the disciplinary action must be submitted.

Other Licenses

Item to Attach	Additional Information
<input type="checkbox"/> Written explanation of compliance activities against another license or enrollment	Identify all states where the applicant or any individual having 5% or more ownership, currently or previously has been licensed as an owner or operator of a long-term care, community-based or health care facility or agency where its license or federal certification has been denied, suspended, restricted, conditioned, refused, not renewed, or revoked under a private or state controlled receivership, or where these same actions are pending under the laws of any state or federal authority. Attach details of any past, current, or pending compliance activities against license or enrollment including the reason for the action taken, dates, and the jurisdiction in possession of the record.

Physical Environment

Item to Attach	Additional Information
<input type="checkbox"/> Assisted Living Plan Submittal Form	This form (plus it's required attachments) is a required addendum to the Provisional Assisted Living License Application.
<input type="checkbox"/> Copy of permits, final inspections and/or Certificate of occupancy	Required prior to final MDH inspection of the facility. Issued by the Minnesota Department of Labor and Industry or a city with a delegation agreement for the new physical address.

Workers' compensation insurance

Item to Attach	Additional Information
<input type="checkbox"/> Copy of insurance certificate	Verify insurance name, carrier name, policy number, and effective dates for proposed new physical address.

Liability coverage

Item to Attach	Additional Information
<input type="checkbox"/> Copy of liability certificate	Verify insurance name, carrier name, policy number, and effective dates for proposed new physical address.

Questions

Email: health.assistedliving@state.mn.us

Call: 651-201-4200

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To obtain this information in a different format, call: 651-201-4101.