STATE OF TENNESSEE
DEPARTMENT OF MENTAL HEALTH AND DEVELOPMENTAL DISABILITIES

INITIAL APPLICATION FOR LICENSE

TO CONDUCT A FACILITY AND/OR SERVICE PROVIDING
MENTAL HEALTH, MENTAL RETARDATION, DEVELOPMENTAL DISABILITY, OR PERSONAL SUPPORT SERVICES

(Tennessee Code Annotated Title 33, Chapter 2, Part 4)

INSTRUCTIONS: Please read carefully and complete this form and its attachments in full. Please type or print legibly. This application may be made by the individual owner, chief executive officer, director or other member of the governing body on whom rests the authority and responsibility for maintaining standards, policies, and procedures for the facility/service to be operated.

1. DATE OF APPLICATION.

Month: _____ Date: _____ Year: _____

2. IDENTIFICATION OF APPLICANT. Identify the person, partnership, corporation, association, or governmental agency applying to lawfully establish, conduct, operate or maintain a facility or service:

_____

3. APPLICANT'S ADDRESS. Give the street address (and mailing address, if different) of the applicant's primary place of business or residence:

Street Address: _____

Mailing Address: _____

City: _____ Zip: _____ County: _____

4. APPLICANT'S TELEPHONE NUMBER(S):

5. ORGANIZATIONAL STRUCTURE. Identify the type of organizational structure of the applicant's governing body; check one (1) of the following:

- ☐ Individual (Proprietorship)
- ☐ Partnership
- ☐ Church
- ☐ Nonprofit Corporation
- ☐ For Profit Corporation
- ☐ Association
- ☐ Government Agency
- ☐ State University
- ☐ Other: _____

6. CHIEF EXECUTIVE OFFICER OR DIRECTOR. Identify below the person who will be responsible for the overall daily management and oversight of the facility/service to be operated by the applicant. This person may be the same as the individual applicant(s) in the case of a proprietorship or partnership. This person may be someone who is hired or appointed by the applicant, such as in the case of a corporation, association or other organization which employs a chief executive officer, director, etc. Or, the person may be employed by a management firm with which the applicant has contracted to oversee the daily operation of the facility and/or service. Check one (1) of the following statements:

☐ The facility/service will be managed and overseen on a daily basis by the individual applicant(s) named in item (2) above.

☐ The facility/service will be managed and overseen on a daily basis by a person hired by the applicant. Identify this person:

Name: _____ Title: _____

☐ The facility/service will be managed and overseen by a person employed by the management firm under contract with the applicant. Identify the person and the firm: (NOTE: A copy of the management contract between the applicant and the firm listed below must be submitted with this application.)

Name: _____ Title: _____

Firm's Name: _____

Firm's Address: _____

7. **CORPORATION/ASSOCIATION INFORMATION.** (Note: This item must be answered **only** by those applicants having a corporation, association or other collective type of organizational structure. Proprietorships, partnerships, governmental agencies and state universities **do not** complete this item.) Complete parts a. and b. below:

   a. List below the names, titles or positions, and places of residence of each person having membership in the governing body of the corporation, association, church, or other organization making this application: (For example, the board of directors, elders, etc.)

Name	Title / Position	Place of Residence

   (If necessary, continue listing on separate sheet and check here ☐.)

   b. A Corporation must submit copies of its corporate charter as certified by the Secretary of State and of its most recent annual report (if applicable) filed with the Secretary of State as required under the provisions of T.C.A. 46-26-203 (for profit corporations) or T.C.A. 46-66-203 (nonprofit corporations).

8. **BACKGROUND AND HISTORY. Important:** A criminal back ground check must be performed on the individual applicant(s) in the case of proprietorships and partnerships, and when applicable, the person identified in item (6) of this application as the chief executive officer, director or other person charged with the overall daily management and oversight of the facility/service. The criminal background investigation must be conducted by a law enforcement agency in the county of residence, or by a state licensed private investigation company. A copy of the criminal background investigation report must be submitted with this application.

The following questions are to be answered about the individual applicant(s) in the case of a proprietorship or partnership, **and** about any responsible person who is hired or appointed by the applicant to be the chief executive officer, director or other person in charge of the overall daily operation of a facility/service. These questions **also** are to be answered about the members of the governing body (board of directors, etc.) of a corporation, association or other organization applying for license.

   a. Has the applicant, or any responsible person referenced above, ever been convicted, or currently under any charges, for offense against the law? (Note: You may exclude traffic violations for which a fine of less than $50.00 was paid, and any offense which was committed before a person's eighteenth birthday and finally adjudicated in a juvenile court or under youth offender law.)
   ☐ NO. ☐ YES. If answered yes, give details of person's name, date, place, charge, court, and action taken: _____

(Item 8 continued on next page.)

8. BACKGROUND AND HISTORY. (Continued.)

b. Has the applicant, or any responsible person referenced above, ever held license from this state, or any other state, to conduct a facility/service for providing mental health, mental retardation, developmental disability, or personal support services?
☐ NO. ☐ YES, from the Tennessee Department of Mental Health and Developmental Disabilities. ☐ YES, from the following state and agency for the following facility/service and location: _____

_____

_____

_____

c. Has the applicant, or any responsible person referenced above, ever held a license or certificate from this state, or any other state, to operate a facility/service providing services to persons in need of other protective or supportive services, such as a nursing home, residential home for the aged, child or adult day care, foster home, etc?
☐ NO. ☐ YES. If answered yes, give person's name, dates of operation, facility/service name and location, and licensing agency:

_____

_____

_____

_____

d. Has the applicant, or any responsible person reference above, ever held a license or certificate to practice a regulated profession in this state, or any other state, **and** had such license revoked, denied or suspended? (Such as, physician, nurse, facility administrator, social worker, attorney, psychologist, etc.) ☐ NO. ☐ YES. If answered yes, give person's name, profession, date, place and action taken against such license: _____

_____

_____

_____

_____

(If additional space is needed to answer any of the above, attach separate sheet and check here ☐).

9. EDUCATION AND EXPERIENCE. Important: The following information is to be supplied about the individual applicant(s) in the case of proprietorships and partnerships, **and** when applicable, about the person identified in item (6) of this application as the chief executive officer, director or other person charged with the overall daily management and oversight of the facility/service to be operated by the applicant.

a. Give full name (including maiden name when applicable) and date of birth of the person(s) for whom this information is being supplied:
Full Name:_____ Birthdate: _____

_____ _____

_____ _____

b. Give the place, date, and degree or grade of the highest level of education achieved: _____

_____

c. If residing at current address less than two (2) years, give previous address:

_____

_____

d. List previous employment or business occupation for the past five (5) years:

_____

_____

_____

_____

_____

(If additional space is needed for any of the above items, attach separate sheet and check here ☐ .)

10. **FINANCIAL RESOURCES.** (Note: This item does not apply to state-operated facilities/services.) The applicant must show financial solvency and responsibility to operate a facility/service. The applicant must provide a financial statement or other information which is complete and sufficient in showing the total assets, liabilities and income of the applicant. Attach a copy of the most recently proposed budget for the facility's/services' operation, or of the most recent fiscal report or financial statement. The financial statement form included with this application may be used for completing a financial statement. **IMPORTANT:** A financial statement must accompany this application.

11. **DESCRIPTION OF FACILITY/SERVICES.** The licensure rules identify and describe distinct categories of facilities/services, which must meet differing rules, based on the type of program services provided and the needs of the persons served. "Fact Sheet Forms" are included with this application. One (1) fact sheet form must be completed for each distinct category of facility/service to be operated at each site. For example, even if more than one (1) facility/service category is to be operated at a single site, an individual fact sheet must be completed and submitted for each category of facility to be operated at that single site. The enclosed fact sheet forms may be photocopied if additional forms are needed. **IMPORTANT:** Fact Sheet Form(s) must accompany this application.

12. **ACCREDITATION/CERTIFICATION STATUS. (OPTIONAL—**Accreditation or certification of an applicant's facility/service is **not** required in order to be approved for license.)

    Participation in any of the following accreditation or certification programs may qualify a facility/service to be deemed into compliance with certain programmatic rules of licensure. To be considered for a possible deemed status determination, the applicant must submit documentation showing current accreditation or certification status, the facility/service, facility programs/services covered by such status, the effective dates of the status, and the findings of the accrediting or certifying body, including any deficiencies with plans of correction. The following accreditation and certification programs are recognized; check any applicable participation.

    ☐ **Joint Commission on the Accreditation of Health Care Organizations (JCAHO).**

    ☐ **Council on the Accreditation of Rehabilitation Facilities (CARF).**

    ☐ **Council on Quality and Leadership in Support for People with Disabilities.**

    ☐ **Medicaid Certification for Intermediate Care Facilities for the Mentally Retarded (ICF/MR) only. (Social Security Act, Title XIX, P.L. 89-98).**

13. **COMMUNITY REFERENCES.** List below the names and addresses of three (3) persons or organizations who can attest to the applicant's responsible and reputable character or reputation, and to the applicant's ability to conduct a facility/service providing services to persons who are vulnerable to neglect, abuse and exploitation. The persons or organizations listed must not be related to the applicant by marriage, blood or in a vested business interest. These individuals will be contacted by this department to obtain letters of reference.

    a. Name:_____

    Address:_____

    b. Name: _____

    Address:_____

    c. Name: _____

    Address:_____

14. **ADDITIONAL INFORMATION.** Use this space to provide any additional information you believe would be helpful in determining your application:

_____

15. **APPLICATION PROCESSING FEE.** A fee is required to be submitted by the applicant for the processing of the application for license. The amount of total fee to be submitted is based on the number of distinct, non-residential categories to be operated at each non-residential site; and on the total number of service recipient beds to be operated at each distinct, residential facility site.

    A LICENSURE APPLICATION FEES INVOICE FORM is enclosed with this application. Use the invoice form to compute the amount of fee to be submitted. The invoice form and your fee are to be submitted separately from this application form to the address of the Fiscal Services Office given on the invoice form. **Do not send fees or invoice forms to the Office of Licensure. Fees are to be submitted by check or money order made payable to the State of Tennessee. Do Not Send Cash. Applications will not be processed until the correct fee has been submitted. FEES ARE NON-REFUNDABLE.**

16. **CERTIFICATION OF APPLICATION.** This certification is to be read and signed by the applicant. The person signing below must be the individual applicant in the case of a proprietorship or partnership, or the chairperson or equivalent officer in the case of a corporation or other association, or the person charged with the oversight of the facility/service by the appointing authority in the case of a governmental agency or state university.

    I HEREBY DECLARE THAT THIS APPLICATION AND ITS ACCOMPANYING ATTACHMENTS HAVE BEEN CAREFULLY READ AND COMPLETED, AND TO THE BEST OF MY KNOWLEDGE, THEY ARE TRUE, CORRECT AND COMPLETE. I FURTHER DECLARE MY AUTHORITY AND RESPONSIBILITY TO MAKE THIS APPLICATION AND AGREE TO COMPLY WITH THE RULES PROMULGATED UNDER TENNESSEE CODE ANNOTATED, TITLE 33, CHAPTER 2, PART 4, FOR THE CONDUCT OF A FACILITY/SERVICE PROVIDING MENTAL HEALTH, MENTAL RETARDATION, DEVELOPMENTAL DISABILITY, OR PERSONAL SUPPORT SERVICES.

SIGNATURE OF APPLICANT OR AUTHORIZED AGENT:	DATE OF SIGNATURE:

Type or Print Name and Title of Person Signing Above:

IMPORTANT—SPECIAL INSTRUCTIONS: This application form with its fact sheets and other application information attachments are to be submitted to your region's **Office of Licensure.** However, the application fees and the invoice form for the fees must be submitted to the **Fiscal Services** office address listed on the application fees invoice form. Sending the application information and the fees correctly and simultaneously to the appropriate and **separate offices** will help ensure a timely beginning on the processing of your application for a license.

(FOR TDMHDD OFFICE USE ONLY—Do Not Write in the Space Below)

Date Application Reviewed:	**Application Reviewed By:**

Application Review Checklist:

- ☐ All Required Info. Completed. ☐ Financial Statement Submitted.
- ☐ Letters of Reference Returned. ☐ Correct Processing Fee(s) Submitted.
- ☐ All Fact Sheet Forms Submitted. If Applicable: ☐ Governing Board Members Listed. ☐ Corporate Charter / Annual Report Submitted.
- ☐ Management Contract (if any) Submitted. ☐ Evidence (if any) for Deemed Status Determination.
- ☐ Other Special Investigation or Action Completed: _____

Other Review Notes _____

Application Approval Status: ☐ Application Approved in Full for All Facilities/Services.

- ☐ Application Approved in Part for Following Facilities: _____
- ☐ Application Denied in Full for Following Reason(s): _____
- ☐ Application Withdrawn by Applicant.