

S T A T E O F N E W Y O R K

3016--A

2011-2012 Regular Sessions

I N S E N A T E

February 7, 2011

Introduced by Sen. HUNTLEY -- read twice and ordered printed, and when printed to be committed to the Committee on Mental Health and Developmental Disabilities -- committee discharged, bill amended, ordered reprinted as amended and recommitted to said committee

AN ACT to amend the mental hygiene law and the executive law, in relation to the review of criminal history information of certain persons rendering community based services to individuals with mental illness or developmental disabilities

THE PEOPLE OF THE STATE OF NEW YORK, REPRESENTED IN SENATE AND ASSEMBLY, DO ENACT AS FOLLOWS:

1 Section 1. Subdivision (a) of section 31.35 of the mental hygiene law,
2 as amended by chapter 575 of the laws of 2004, is amended to read as
3 follows:
4 (a) Every provider of services who contracts with, RECEIVES FUNDS
5 FROM, or is LICENSED, CERTIFIED, approved or IS otherwise authorized by
6 the office to provide services, except (1) a department facility, (2) a
7 hospital as defined in article twenty-eight of the public health law, or
8 (3) a licensed professional under title eight of the education law who
9 does not have employees or volunteers who will have regular and substan-
10 tial unsupervised or unrestricted physical contact with the clients of
11 such provider, and every applicant to be such a provider of services
12 except (i) a department facility, (ii) a hospital as defined in article
13 twenty-eight of the public health law, or (iii) a licensed professional
14 under title eight of the education law who does not have employees or
15 volunteers who will have regular and substantial unsupervised or unre-
16 stricted physical contact with the clients of such provider, shall
17 request that the office check, and upon such request the office shall
18 request and shall be authorized to receive from the division of criminal
19 justice services criminal history information, as such phrase is defined
20 in paragraph (c) of subdivision one of section eight hundred
21 forty-five-b of the executive law, concerning each (A) prospective oper-

EXPLANATION--Matter in *ITALICS* (underscored) is new; matter in brackets
[] is old law to be omitted.

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1 ator, employee or volunteer of such provider who will have regular and
2 substantial unsupervised or unrestricted physical contact with the
3 clients of such provider, OR (B) OTHER PERSON OVER THE AGE OF EIGHTEEN
4 WHO IS TO RESIDE IN A FAMILY CARE HOME OR FAMILY BASED TREATMENT PROGRAM
5 APPROVED BY THE OFFICE ON OR AFTER APRIL FIRST, TWO THOUSAND ELEVEN,
6 EXCEPT ANY PERSON RECEIVING FAMILY CARE OR FAMILY BASED TREATMENT
7 SERVICES, WHO WILL HAVE REGULAR AND SUBSTANTIAL UNSUPERVISED OR UNRE-
8 STRICTED PHYSICAL CONTACT WITH THE CLIENTS OF SUCH PROVIDER. For
9 purposes of this section, "operator" shall include any natural person
10 with an ownership interest in the provider of services.

11 S 2. Paragraph (c) of subdivision 1, paragraphs (a), (b) and (c) of
12 subdivision 3 and subdivisions 4, 5, 6, 7, 8, 9, 10, 11 and 12 of
13 section 845-b of the executive law, as amended by chapter 769 of the
14 laws of 2005, the closing paragraph of subparagraph (iii) of paragraph
15 (c) of subdivision 3 as amended and paragraph (b-1) of subdivision 4 as
16 added by chapter 673 of the laws of 2006 and subdivisions 4 and 5 as
17 amended by chapter 331 of the laws of 2006, are amended to read as
18 follows:

19 (c) "Criminal history information" means a record of pending criminal
20 charges, criminal convictions which are not vacated or reversed, and
21 certificates filed pursuant to subdivision two of section seven hundred
22 five of the correction law, and which the division is authorized to
23 maintain pursuant to subdivision six of section eight hundred thirty-
24 seven of this article. For the purposes of [criminal history information
25 checks authorized pursuant to article twenty-eight-E of the public
26 health law] THIS SECTION, criminal history information shall also
27 include information from the federal bureau of investigation as a result
28 of a national criminal history record check.

29 (a) A provider authorized to request a check of criminal history
30 information pursuant to subdivision two of this section shall designate
31 one OR MORE authorized [person] PERSONS, who shall request a check of
32 criminal history information on behalf of such provider pursuant to this
33 section and review the results of such check. Only such authorized
34 [person or his or her designee] PERSONS and the subject individual to
35 whom such criminal history information relates shall have access to such
36 information; provided, however, that criminal history information
37 received by a provider may be disclosed to other persons who are direct-
38 ly participating in any decision in regard to such subject individual;
39 and provided, further, that such other persons shall also be subject to
40 the confidentiality requirements and all other provisions of this
41 section[. In the case of requests made pursuant to article
42 twenty-eight-E of the public health law], PROVIDED, HOWEVER, THAT WITH
43 RESPECT TO INFORMATION OBTAINED FROM THE FEDERAL BUREAU OF INVESTIGATION
44 AS A RESULT OF A NATIONAL CRIMINAL HISTORY RECORD CHECK only information
45 authorized for disclosure under applicable federal laws shall be trans-
46 mitted to the provider. Each provider shall specifically identify to the
47 authorized agency in writing, in advance of disclosure, the authorized
48 person and each other such agent or employee of the provider who is
49 authorized to have access to the results of a check of criminal history
50 information pursuant to this section. Any person who willfully permits
51 the release of any confidential criminal history information contained
52 in the report to persons not permitted by this section to receive such
53 information shall be guilty of a misdemeanor.

54 (b) A provider requesting a check of criminal history information
55 pursuant to this section shall do so by completing a form established
56 for such purpose by the authorized agency in consultation with the divi-

1 sion. Such form shall include a sworn statement of the authorized
2 person, OR A STATEMENT SUBSCRIBED TO BY THE AUTHORIZED PERSON CONTAINING
3 AN AFFIRMATION OF SUCH PERSON THAT THE STATEMENTS THEREIN ARE TRUE UNDER
4 PENALTIES OF PERJURY, certifying OR AFFIRMING, AS APPLICABLE that:
5 (i) [the] EACH person for whose criminal history information a check
6 is requested [is] SHALL BE a subject individual for whom criminal histo-
7 ry information is available by law;
8 (ii) FOR EACH CRIMINAL HISTORY CHECK REQUESTED, the specific duties
9 which qualify the provider to request a check of criminal history infor-
10 mation SHALL BE IDENTIFIED;
11 (iii) the results of [such] ANY criminal history information check
12 MADE PURSUANT TO THIS SECTION will be used by the provider solely for
13 purposes authorized by law; and
14 (iv) the provider and its agents and employees are aware of and will
15 abide by the confidentiality requirements and all other provisions of
16 this article.
17 (c) A provider authorized to request a criminal history information
18 check pursuant to this section may inquire of a subject individual in
19 the manner authorized by subdivision sixteen of section two hundred
20 ninety-six of this chapter. Prior to requesting such information, a
21 provider shall:
22 (i) inform the subject individual in writing that the provider is
23 authorized or, where applicable, required to request a check of his or
24 her criminal history information and review the results of such check
25 pursuant to this section;
26 (ii) inform the subject individual that he or she has the right to
27 obtain, review and seek correction of his or her criminal history infor-
28 mation under regulations and procedures established by the division AND
29 THE FEDERAL BUREAU OF INVESTIGATION;
30 (iii) obtain the signed, informed consent of the subject individual on
31 a form supplied by the authorized agency which indicates that such
32 person has:
33 A. been informed of the right and procedures necessary to obtain,
34 review and seek correction of his or her criminal history information;
35 B. been informed of the reason for the request for his or her criminal
36 history information;
37 C. BEEN INFORMED THAT THE CRIMINAL HISTORY INFORMATION SOUGHT WILL
38 INCLUDE BOTH A NEW YORK STATE AND A NATIONAL CRIMINAL HISTORY INFORMA-
39 TION CHECK;
40 D. consented to such request for a report[; and
41 D.] WITH RESPECT TO BOTH NEW YORK STATE AND NATIONAL CRIMINAL HISTORY
42 INFORMATION; AND
43 E. supplied on the form a current mailing or home address.
44 Upon receiving such written consent, the provider shall receive or
45 obtain [two sets of] THE fingerprints of such subject individual pursu-
46 ant to such regulations AND PROCEDURES as may be necessary to be estab-
47 lished by the authorized agency in consultation with the division, and
48 promptly transmit them to the authorized agency.
49 4. Procedures for criminal history information checks by authorized
50 agencies. (a) The authorized agency shall pay the processing fee imposed
51 pursuant to subdivision eight-a of section eight hundred thirty-seven of
52 this article, and [in the case of the authorized agency pursuant to
53 article twenty-eight-E of the public health law,] any fee imposed by the
54 federal bureau of investigation, and shall promptly submit the finger-
55 prints and the processing fee to the division for its full search and
56 retain processing, and [in the case of the authorized agency pursuant to

1 article twenty-eight-E of the public health law,] the division shall
2 immediately forward the fingerprints to the federal bureau of investi-
3 gation for a national criminal history record check. The authorized
4 agency may charge a provider a fee in AN amount no greater than the fee
5 established pursuant to law by the division for processing such a crimi-
6 nal history information check, in such amounts as may be established by
7 the authorized agency and approved by the director of the division of
8 the budget, and [in the case of the authorized agency pursuant to arti-
9 cle twenty-eight-E of the public health law,] a fee no greater than any
10 fee imposed by the federal bureau of investigation. Nothing in this
11 section shall prohibit the authorized agency or provider from claiming
12 the cost of such fees and related costs, including administrative costs,
13 as a reimbursable cost under the medical assistance program, Medicare or
14 other payor, to the extent permitted by state and federal law.

15 (b) THE AUTHORIZED AGENCY IS AUTHORIZED TO RECEIVE CRIMINAL HISTORY
16 INFORMATION FROM THE DIVISION AND THE FEDERAL BUREAU OF INVESTIGATION,
17 AFTER THE RECEIPT OF A REQUEST PURSUANT TO THIS SECTION, IF SUCH REQUEST
18 IS:

19 (I) MADE PURSUANT TO A REQUEST BY AN AUTHORIZED PERSON ON BEHALF OF A
20 PROVIDER AUTHORIZED TO MAKE SUCH A REQUEST PURSUANT TO SUBDIVISION TWO
21 OF THIS SECTION;

22 (II) ACCOMPANIED BY THE COMPLETED FORM DESCRIBED IN PARAGRAPH (B) OF
23 SUBDIVISION THREE OF THIS SECTION; AND

24 (III) ACCOMPANIED BY FINGERPRINTS OF THE SUBJECT INDIVIDUAL OBTAINED
25 PURSUANT TO THIS SECTION.

26 (C) The division shall promptly provide requested state criminal
27 history information to the authorized agency and, [in accordance with
28 article twenty-eight-E of the public health law, the department of
29 health is authorized also to receive criminal history information from
30 the federal bureau of investigation, after the receipt of a request
31 pursuant to this section if such request is:

32 (i) made pursuant to a request by an authorized person on behalf of a
33 provider authorized to make such a request pursuant to subdivision two
34 of this section;

35 (ii) accompanied by the completed form described in this section; and

36 (iii) accompanied by fingerprints of the subject individual obtained
37 pursuant to this section.

38 (b-1) The division] ALSO shall promptly forward a set of the subject
39 individual's fingerprints to the federal bureau of investigation for the
40 purpose of a nationwide criminal history record check to determine
41 whether such applicant has been convicted of a criminal offense in any
42 state or federal jurisdiction. The division shall forward the results of
43 such nationwide search to the authorized agency in the same form and
44 manner as the criminal history report created and provided by the divi-
45 sion pursuant to this section.

46 [(c)] (D) Criminal history information provided by the division pursu-
47 ant to this section shall be furnished only by mail or other method of
48 secure and confidential delivery, addressed to the authorized agency.
49 Such information and the envelope in which it is enclosed, if any, shall
50 be prominently marked "confidential", and shall at all times be main-
51 tained by the authorized agency in a secure place.

52 5. After reviewing any criminal history information provided by the
53 division concerning a subject individual, the authorized agency shall
54 take the following actions:

55 (a) Where the criminal history information concerning a subject indi-
56 vidual reveals a felony conviction at any time for a sex offense, a

1 felony conviction FOR ANY CRIME within the past ten years involving
2 violence, or a conviction for endangering the welfare of an incompetent
3 or physically disabled person pursuant to section 260.25 of the penal
4 law, OR ANY COMPARABLE OFFENSE IN ANY OTHER JURISDICTION; and in the
5 case of criminal history information obtained pursuant to section twen-
6 ty-eight hundred ninety-nine-a of the public health law, where the crim-
7 inal history information concerning a subject individual reveals a
8 conviction at any time of any class A felony; a conviction within the
9 past ten years of any class B or C felony, any class D or E felony
10 defined in article one hundred twenty, one hundred thirty, one hundred
11 fifty-five, one hundred sixty, one hundred seventy-eight or two hundred
12 twenty of the penal law; or any crime defined in sections 260.32 or
13 260.34 of the penal law; or any comparable offense in any other juris-
14 diction[,]; the authorized agency shall deny or disapprove the applica-
15 tion for or renewal of the operating certificate, contract, approval,
16 employment of the subject individual or other authorization to provide
17 services, or direct the provider to deny employment, as applicable,
18 unless the authorized agency determines, in its discretion, that
19 approval of the application or renewal or employment will not in any way
20 jeopardize the health, safety or welfare of the beneficiaries of such
21 services.

22 (b) Where the criminal history information concerning a subject indi-
23 vidual reveals a conviction for a crime other than one set forth in
24 paragraph (a) of this subdivision, the authorized agency may deny the
25 application or renewal, or direct the provider to deny employment of the
26 subject individual, [or approve or] disapprove the [prospective employ-
27 ee's] SUBJECT INDIVIDUAL'S eligibility for employment by the provider,
28 OR VOLUNTEER SERVICE WITH A PROVIDER OF SERVICE WHO CONTRACTS WITH,
29 RECEIVES FUNDS FROM, OR IS LICENSED, CERTIFIED, APPROVED OR IS OTHERWISE
30 AUTHORIZED BY THE OFFICE OF MENTAL HEALTH OR THE OFFICE FOR PEOPLE WITH
31 DEVELOPMENTAL DISABILITIES, consistent with article twenty-three-A of
32 the correction law.

33 (c) Where the criminal history information concerning a subject indi-
34 vidual reveals a charge for any felony, ANY CRIME IDENTIFIED IN PARA-
35 GRAPH (A) OF THIS SUBDIVISION, OR FOR ANY COMPARABLE OFFENSE IN ANOTHER
36 JURISDICTION, the authorized agency shall, and for any misdemeanor, OR
37 ANY COMPARABLE OFFENSE IN ANOTHER JURISDICTION, the authorized agency
38 may hold the application, renewal or employment in abeyance until the
39 charge is finally resolved[.], PROVIDED, HOWEVER, IF THE CRIMINAL HISTO-
40 RY INFORMATION CONCERNING A SUBJECT INDIVIDUAL REVEALS A CHARGE FOR ANY
41 CRIME NOT IDENTIFIED IN PARAGRAPH (A) OF THIS SUBDIVISION, OR A COMPARA-
42 BLE OFFENSE IN ANOTHER JURISDICTION, WHICH IS MORE THAN TEN YEARS OLD
43 AND WHERE INFORMATION NECESSARY TO RESOLVE THE CHARGE IS NOT READILY
44 AVAILABLE TO THE AUTHORIZED AGENCY, THE AUTHORIZED AGENCY MAY EITHER:

45 (I) HOLD THE APPLICATION, RENEWAL, OR EMPLOYMENT IN ABEYANCE UNTIL THE
46 CHARGE IS FINALLY RESOLVED; OR

47 (II) ADVISE THE PROVIDER OF SERVICES THAT IT MAY ACT ON ITS OWN
48 DISCRETION, IF SUCH PROVIDER PERFORMS A SAFETY ASSESSMENT AND DETER-
49 MINES, CONSISTENT WITH ARTICLE TWENTY-THREE-A OF THE CORRECTION LAW,
50 THAT APPROVAL OF THE APPLICATION WILL NOT POSE AN UNREASONABLE RISK TO
51 THE HEALTH, SAFETY OR WELFARE OF THE BENEFICIARIES OF SUCH SERVICES.

52 (d) WHERE THE SUBJECT INDIVIDUAL IS A NATURAL PERSON OPERATOR OF A
53 FAMILY CARE HOME OR FAMILY BASED TREATMENT PROVIDER, OR A PERSON OVER
54 THE AGE OF EIGHTEEN WHO IS TO RESIDE, OR RESIDES, IN A FAMILY CARE HOME
55 OR FAMILY BASED TREATMENT PROVIDER:

1 (I) IF THE CRIMINAL HISTORY INFORMATION CONCERNING SUCH SUBJECT INDI-
2 VIDUAL REVEALS A CONVICTION FOR ANY CRIME IDENTIFIED IN PARAGRAPH (A) OF
3 THIS SUBDIVISION, THE AUTHORIZED AGENCY SHALL PROMPTLY ADVISE THE
4 AUTHORIZED PERSON OF THE FAMILY CARE HOME OR FAMILY BASED TREATMENT
5 PROVIDER THAT IT SHALL NOT PERMIT, OR MUST CEASE AND DESIST FROM PERMIT-
6 TING, SUCH PERSON FROM OPERATING, RESIDING OR CONTINUING TO RESIDE IN
7 THE FAMILY CARE HOME OR WITH THE FAMILY BASED TREATMENT PROVIDER, UNLESS
8 THE AUTHORIZED AGENCY DETERMINES THAT THE SUBJECT INDIVIDUAL WILL NOT IN
9 ANY WAY JEOPARDIZE THE HEALTH, SAFETY, OR WELFARE OF THE CLIENT OR
10 CLIENTS OF THE FAMILY CARE HOME OR FAMILY BASED TREATMENT PROVIDER.
11 FAILURE TO COMPLY WITH THIS DIRECTIVE SHALL, AS APPLICABLE, CONSTITUTE
12 GROUNDS FOR DENIAL OF AN OPERATING CERTIFICATE OR REMOVAL OF THE OPERAT-
13 ING CERTIFICATE OF THE FAMILY CARE HOME OR FAMILY BASED TREATMENT
14 PROGRAM IN ACCORDANCE WITH THE PROVISIONS OF ARTICLE SIXTEEN OR THIRTY-
15 ONE OF THE MENTAL HYGIENE LAW; OR

16 (II) IF THE CRIMINAL HISTORY INFORMATION CONCERNING SUCH SUBJECT INDI-
17 VIDUAL REVEALS A CONVICTION FOR ANY CRIME OTHER THAN ONE IDENTIFIED IN
18 PARAGRAPH (A) OF THIS SUBDIVISION, THE AUTHORIZED AGENCY MAY PROMPTLY
19 ADVISE THE AUTHORIZED PERSON OF THE FAMILY CARE HOME OR FAMILY BASED
20 TREATMENT PROVIDER IT SHALL NOT PERMIT, OR MUST CEASE AND DESIST FROM
21 PERMITTING, SUCH PERSON FROM OPERATING, RESIDING OR CONTINUING TO RESIDE
22 IN THE FAMILY CARE HOME OR WITH THE FAMILY BASED TREATMENT PROVIDER IF,
23 AFTER PERFORMING A SAFETY ASSESSMENT THE AUTHORIZED AGENCY DETERMINES
24 THAT THE SUBJECT INDIVIDUAL WILL NOT JEOPARDIZE THE HEALTH, SAFETY, OR
25 WELFARE OF THE CLIENT OR CLIENTS OF THE FAMILY CARE HOME OR FAMILY BASED
26 TREATMENT PROVIDER. FAILURE TO COMPLY WITH THIS DIRECTIVE SHALL, AS
27 APPLICABLE, CONSTITUTE GROUNDS FOR DENIAL OF AN OPERATING CERTIFICATE,
28 OR REMOVAL OF THE OPERATING CERTIFICATE OF THE FAMILY CARE HOME OR FAMI-
29 LY BASED TREATMENT PROVIDER IN ACCORDANCE WITH THE PROVISIONS OF ARTICLE
30 SIXTEEN OR THIRTY-ONE OF THE MENTAL HYGIENE LAW; OR

31 (III) IF THE CRIMINAL HISTORY INFORMATION CONCERNING SUCH SUBJECT
32 INDIVIDUAL REVEALS AN OUTSTANDING CHARGE FOR ANY CRIME IDENTIFIED IN
33 PARAGRAPH (A) OF THIS SUBDIVISION, THE AUTHORIZED AGENCY SHALL, AS
34 APPLICABLE, HOLD THE APPLICATION FOR AN OPERATING CERTIFICATE IN ABEY-
35 ANCE UNTIL THE CHARGE IS RESOLVED, OR REQUIRE A SAFETY ASSESSMENT OF THE
36 FAMILY CARE HOME OR FAMILY BASED TREATMENT PROVIDER TO BE PERFORMED, AND
37 SHALL DIRECT THE FAMILY CARE HOME OR FAMILY BASED TREATMENT PROVIDER OF
38 ANY ACTIONS THAT MUST BE TAKEN TO ENSURE THAT THE SUBJECT INDIVIDUAL
39 WILL NOT IN ANY WAY JEOPARDIZE THE HEALTH, SAFETY, OR WELFARE OF THE
40 CLIENT OR CLIENTS OF THE FAMILY CARE HOME OR FAMILY BASED TREATMENT
41 PROVIDER. FAILURE TO PROMPTLY IMPLEMENT SUCH ACTIONS BY THE FAMILY CARE
42 HOME OR FAMILY BASED TREATMENT PROVIDER SHALL CONSTITUTE GROUNDS FOR
43 REMOVAL OF ITS OPERATING CERTIFICATE IN ACCORDANCE WITH THE PROVISIONS
44 OF ARTICLE SIXTEEN OR THIRTY-ONE OF THE MENTAL HYGIENE LAW; OR

45 (IV) IF THE CRIMINAL HISTORY INFORMATION CONCERNING SUCH SUBJECT INDI-
46 VIDUAL REVEALS AN OUTSTANDING CHARGE FOR ANY CRIME OTHER THAN ONE IDEN-
47 TIFIED IN PARAGRAPH (A) OF THIS SUBDIVISION, THE AUTHORIZED AGENCY MAY,
48 AS APPLICABLE, HOLD THE APPLICATION FOR AN OPERATING CERTIFICATE IN
49 ABEYANCE OR REQUIRE A SAFETY ASSESSMENT OF THE FAMILY CARE HOME OR FAMI-
50 LY BASED TREATMENT PROVIDER TO BE PERFORMED, AND MAY DIRECT THE FAMILY
51 CARE HOME OR FAMILY CARE TREATMENT PROVIDER OF ANY ACTIONS THAT MUST BE
52 TAKEN TO ENSURE THAT THE SUBJECT INDIVIDUAL WILL NOT JEOPARDIZE THE
53 HEALTH, SAFETY, OR WELFARE OF THE CLIENT OR CLIENTS OF THE FAMILY CARE
54 HOME OR FAMILY BASED TREATMENT PROVIDER. FAILURE TO PROMPTLY IMPLEMENT
55 SUCH ACTIONS BY THE FAMILY CARE HOME OR FAMILY BASED TREATMENT PROVIDER,
56 IF DIRECTED TO DO SO, SHALL CONSTITUTE GROUNDS FOR REMOVAL OF ITS OPER-

1 ATING CERTIFICATE IN ACCORDANCE WITH THE PROVISIONS OF ARTICLE SIXTEEN
2 OR THIRTY-ONE OF THE MENTAL HYGIENE LAW.

3 (E) Prior to making a determination to deny an application [or
4 renewal,] or directing [an employer] A PROVIDER to deny employment OR
5 VOLUNTEER SERVICE, the authorized agency shall afford the subject indi-
6 vidual an opportunity to explain, in writing, why the application should
7 not be denied. IN ITS DISCRETION, THE AUTHORIZED AGENCY MAY ALSO
8 DIRECTLY CONTACT A SUBJECT INDIVIDUAL FOR ADDITIONAL INFORMATION IN THE
9 EVENT HIS OR HER CRIMINAL HISTORY INFORMATION REQUIRES CLARIFICATION.

10 [(e)] (F) Upon receipt of criminal history information from the divi-
11 sion, the authorized agency may request, and is [entitled] AUTHORIZED to
12 receive, information pertaining to any crime identified in such criminal
13 history information from any state or local law enforcement agency,
14 district attorney, parole officer, probation officer or court for the
15 purposes of determining whether any ground relating to such crime exists
16 for denying an application, renewal, or employment, AND PROVIDED
17 FURTHER, THAT WITH RESPECT TO CRIMES COMMITTED IN THE STATE OF NEW YORK,
18 SUCH AUTHORIZED AGENCY IS ENTITLED TO RECEIVE SUCH INFORMATION.

19 [(f)] (G) The authorized agency shall thereafter promptly notify the
20 provider concerning whether its check has revealed any criminal history
21 information, and if so, what actions shall or may be taken by the
22 authorized agency and the provider. SUCH NOTIFICATION SHALL INCLUDE A
23 WRITTEN SUMMARY BY THE AUTHORIZED AGENCY OF THE CRIMINAL HISTORY INFOR-
24 MATION PROVIDED BY THE DIVISION AND/OR THE FEDERAL BUREAU OF INVESTI-
25 GATION. THE WRITTEN SUMMARY SHALL INCLUDE A NOTATION OF ANY OUTSTANDING
26 CHARGES, IF ANY, ABOUT WHICH THE AUTHORIZED AGENCY IS AWAITING FURTHER
27 INFORMATION CONCERNING THE FINAL DISPOSITION OF SUCH CHARGES. THE
28 AUTHORIZED AGENCY SHALL SUPPLEMENT SUCH NOTIFICATION WHEN THE AUTHORIZED
29 AGENCY RECEIVES INFORMATION FROM THE DIVISION RELATING TO A SUBJECT
30 INDIVIDUAL AS PART OF THE SEARCH AND RETAIN PROCESSING CONDUCTED BY SUCH
31 DIVISION OR WHEN THE AUTHORIZED AGENCY RECEIVES INFORMATION RELATIVE TO
32 THE FINAL DISPOSITION OF AN OUTSTANDING CHARGE.

33 [(g) Where the authorized agency denies the application for or renewal
34 of an operating certificate, contract, approval or other authorization
35 to provide services, or directs a provider to deny employment of the
36 subject individual on account of the subject individual's criminal
37 history information, the notification by the authorized agency shall
38 include a summary of the criminal history information provided by the
39 division.]

40 (h) IN THE EVENT THAT THE INFORMATION OBTAINED BY THE AUTHORIZED AGEN-
41 CY FROM THE DIVISION AND/OR THE FEDERAL BUREAU OF INVESTIGATION INDI-
42 CATES THAT EITHER ENTITY HAS NO CRIMINAL HISTORY INFORMATION WITH
43 RESPECT TO THE SUBJECT INDIVIDUAL, THE AUTHORIZED AGENCY SHALL NOTIFY
44 THE PROVIDER THAT SUCH INDIVIDUAL HAS NO CRIMINAL HISTORY INFORMATION
45 RECORD.

46 (I) Where the authorized agency directs a provider to deny employment
47 OR VOLUNTEER SERVICE based on criminal history information, the provider
48 must notify the subject individual that such information is the basis of
49 the denial. WHERE THE AUTHORIZED AGENCY DENIES THE ISSUANCE OF AN OPER-
50 ATING CERTIFICATE, CONTRACT, APPROVAL OR OTHER AUTHORIZATION TO PROVIDE
51 SERVICES BASED ON CRIMINAL HISTORY INFORMATION, THE AUTHORIZED AGENCY
52 MUST NOTIFY THE SUBJECT INDIVIDUAL THAT SUCH INFORMATION IS THE BASIS OF
53 THE DENIAL.

54 6. [Upon request from an employee who has already been cleared for
55 employment by an authorized agency and who subsequently leaves a partic-
56 ular employer and applies for employment with another, the authorizing

1 agency shall adhere to its previous authorization when the criminal
2 history information is unchanged and the circumstances of employment are
3 substantially similar for the purposes of this section.

4 7.] Any criminal history information provided by the division, and any
5 summary of the criminal history information provided by the authorized
6 agency to [an employer] A PROVIDER pursuant to this section is confiden-
7 tial and shall not be available for public inspection; provided, howev-
8 er, nothing in this subdivision shall prevent an authorized agency or
9 provider from disclosing criminal history information at any administra-
10 tive or judicial proceeding relating to the denial or revocation of an
11 application, employment, license or registration. Where the authorized
12 agency denies the application for or renewal of an operating certifi-
13 cate, contract, approval or other authorization to provide services, or
14 directs a provider to deny employment OR VOLUNTEER SERVICE of the
15 subject individual, the subject of the criminal history information
16 check conducted pursuant to this section shall be entitled to receive,
17 upon written request, a copy of the summary of the criminal history
18 information provided by the authorized agency to the provider, IF ANY
19 SUCH SUMMARY WAS SO PROVIDED.

20 [8.] 7. A provider shall advise the authorized agency when a subject
21 individual is no longer subject to such check. The authorized agency
22 shall inform the division when a subject individual is no longer subject
23 to such check so that the division may terminate its retain processing
24 with regard to such individual. At least once a year, the authorized
25 agency shall be required to conduct a validation of the records main-
26 tained by the division, including information obtained from the federal
27 bureau of investigation [pursuant to article twenty-eight-E of the
28 public health law] and provide such results to the authorized agency for
29 purposes of updating the permanent record of such criminal history
30 information results.

31 [9.] 8. Provided that an authorized agency or a provider reasonably
32 and in good faith complies with the provisions of this section, there
33 shall be no criminal or civil liability on the part of and no cause of
34 action for damages shall accrue against any authorized agency, provider
35 or employee thereof on account of, arising out of or relating to crimi-
36 nal history information pursuant to this section, or any act or omission
37 relating to criminal history information pursuant to this section.

38 [10.] 9. Fingerprints received by the division pursuant to this
39 section shall be used only to assist the division in providing criminal
40 history information to authorized agencies under this section.

41 [11.] 10. An authorized agency or provider authorized to request crim-
42 inal history information pursuant to this section may temporarily
43 approve an applicant while the results of the criminal history informa-
44 tion check are pending, so long as such person does not have unsuper-
45 vised physical contact with clients, as shall be defined by the author-
46 ized agency pursuant to regulation; provided however, that providers
47 subject to the provisions of subdivision ten of section twenty-eight
48 hundred ninety-nine-a of the public health law shall be subject to the
49 supervision requirements provided therein. [Such regulation shall recog-
50 nize the differences in the staffing patterns of various service models
51 and the supervision required to ensure the safety of clients.

52 12.] 11. The authorized agency in consultation with the commissioner
53 shall promulgate any rules and regulations necessary to implement the
54 provisions of this section, which shall include convenient procedures
55 for persons to promptly verify the accuracy of their NEW YORK STATE

1 criminal history information and, to the extent authorized by law, to
2 have access to relevant documents related thereto.
3 S 3. This act shall take effect on the one hundred eightieth day after
4 it shall have become a law.