

# STATE OF NEW YORK

6399--A

2021-2022 Regular Sessions

## IN ASSEMBLY

March 17, 2021

Introduced by M. of A. CRUZ, PRETLOW, GONZALEZ-ROJAS, MEEKS, BURGOS, FERNANDEZ, MAMDANI, WALKER, QUART, BARRON, JACKSON, SEAWRIGHT, SIMON, DICKENS, HYNDMAN, EPSTEIN, FORREST, ANDERSON, SILLITTI, DE LA ROSA, KELLES, GOTTFRIED, BURDICK, GALLAGHER, CARROLL, SEPTIMO, L. ROSENTHAL, RICHARDSON, ZINERMAN, REYES, NIOU, HEVESI, DARLING, AUBRY, MITAYNES -- read once and referred to the Committee on Codes -- committee discharged, bill amended, ordered reprinted as amended and recommitted to said committee

AN ACT to amend the criminal procedure law, the executive law and the correction law, in relation to automatic sealing of certain convictions

The People of the State of New York, represented in Senate and Assembly, do enact as follows:

1 Section 1. The criminal procedure law is amended by adding a new  
2 section 160.57 to read as follows:

3 § 160.57 Automatic sealing of convictions.

4 1. Convictions for certain traffic infractions and violations or any  
5 crime defined in the laws of this state shall be sealed in accordance  
6 with paragraph (c) of this subdivision as follows:

7 (a) Convictions for subdivision one of section eleven hundred ninety-  
8 two of the vehicle and traffic law shall be sealed after three years.

9 (b) Criminal convictions for misdemeanors and felonies shall be sealed  
10 upon satisfaction of the following conditions:

11 (i) at least three years have passed from the imposition of sentence  
12 on the defendant's most recent misdemeanor conviction in this state and  
13 at least seven years have passed since the imposition of sentence on the  
14 defendant's most recent felony conviction in this state;

15 (ii) the defendant does not have a criminal charge pending in this  
16 state;

17 (iii) the defendant is not currently under the supervision of any  
18 probation or parole department for the eligible conviction; and

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

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1 (iv) the conviction is not defined as a sex offense under section one  
2 hundred sixty-eight-a of the correction law.

3 (c) Where a conviction is eligible for sealing pursuant to this para-  
4 graph before, on, or after the effective date of this section, the divi-  
5 sion of criminal justice services shall immediately notify the office of  
6 court administration, the court of conviction, and the heads of all  
7 appropriate police and sheriff departments that the conviction is  
8 sealed.

9 (d) Records of convictions sealed pursuant to this paragraph shall not  
10 be accessed, made available to any person or public or private agency,  
11 or used by any state agency covered by subdivision three of this section  
12 except for:

13 (i) the defendant and such defendant's attorney;

14 (ii) any court or prosecutor for the purposes of a pending criminal  
15 action;

16 (iii) qualified agencies, as defined in subdivision nine of section  
17 eight hundred thirty-five of the executive law, and federal and state  
18 law enforcement agencies, when acting within the scope of their law  
19 enforcement duties;

20 (iv) the court, prosecutor, and defense counsel if the defendant  
21 becomes a witness in a criminal proceeding, or the claimant and respond-  
22 ent if the defendant becomes a witness in a civil proceeding;

23 (v) when an individual is a defendant in a criminal action and the  
24 sealed records of conviction of a third-party are integral to their  
25 defense. In such instances, use of sealed records shall be requested  
26 upon ex parte motion in any superior court, or in any district court,  
27 city court or the criminal court of the city of New York provided that  
28 such court is where the action is pending. The applicant must demon-  
29 strate to the satisfaction of the court that the records will be used  
30 for the purpose of this subparagraph;

31 (vi) entities that are required by state or federal law to request a  
32 fingerprint-based check of criminal history information, provided,  
33 however, that every person whose information is retrieved pursuant to  
34 this paragraph shall be furnished with a copy of such information and  
35 afforded an opportunity to explain or contest the information to the  
36 entity;

37 (vii) any prospective employer of a police officer or peace officer as  
38 those terms are defined in subdivisions thirty-three and thirty-four of  
39 section 1.20 of this chapter, in relation to an application for employ-  
40 ment as a police officer, provided, however, that every person who is an  
41 applicant shall be furnished with a copy of all records obtained under  
42 this paragraph and afforded an opportunity to make an explanation there-  
43 to;

44 (viii) any federal, state or local officer or agency with responsibil-  
45 ity for the issuance of licenses to possess a firearm, rifle or shotgun  
46 or with responsibility for conducting background checks before transfer  
47 or sale of a firearm or explosive, when the officer or agency is acting  
48 pursuant to such responsibility. This includes the criminal justice  
49 information services division of the federal bureau of investigation,  
50 for the purposes of responding to queries to the national instant back-  
51 ground check system regarding attempts to purchase or otherwise take  
52 possession of firearms, rifles or shotguns, as defined in 18 U.S.C. §  
53 921 (A)(3);

54 (ix) for the purposes of civilian investigation or evaluation of a  
55 civilian complaint or civil action concerning law enforcement or prose-  
56 cution actions, upon ex parte motion in any superior court, or in any

1 district court, city court or the criminal court of the city of New York  
2 provided that such court sealed the record; the applicant must demon-  
3 strate to the satisfaction of the court that the records will be used  
4 for the purposes of this subparagraph; and

5 (x) for information provided to an individual or entity pursuant to  
6 paragraph (e) of subdivision four of section eight hundred thirty-seven  
7 of the executive law or for bona fide research purposes provided all  
8 identifying information is removed.

9 (e) Where the sealing required by this paragraph has not taken place,  
10 or where supporting court records cannot be located or have been  
11 destroyed, and a defendant or their attorney submits notification of  
12 such fact to the division of criminal justice services, as prescribed in  
13 subdivision twenty-three of section eight hundred thirty-seven of the  
14 executive law, within thirty days of such notice to the division, the  
15 conviction shall be sealed as set forth in this subdivision.

16 2. In calculating the time periods under this section, any period of  
17 time during which the defendant was incarcerated shall be excluded and  
18 such time period shall be extended by a period equal to the time served  
19 under such incarceration.

20 3. Where a conviction is eligible for sealing pursuant to this section  
21 before, on, or after the effective date of this section, the commis-  
22 sioner of the division of criminal justice services shall immediately notify  
23 the office of court administration, the court of conviction and the  
24 heads of all appropriate police departments, prosecutors' offices and  
25 law enforcement agencies that the conviction is sealed. Upon receipt of  
26 such notification, records of or relating to such conviction shall be  
27 immediately sealed.

28 (a) Any state agency that possesses information, records, documents or  
29 papers related to the eligible conviction shall seal them as follows:

30 (i) Every photograph of such defendant and photographic plates or  
31 proof, and all palmprints, fingerprints and retina scans taken or made  
32 of such individual pursuant to the provisions of this article in regard  
33 to the eligible conviction, and all duplicates, reproductions, and  
34 copies thereof, except a digital fingerprint that is on file with the  
35 division of criminal justice services for a conviction that has not been  
36 sealed pursuant to this section or section 160.50 of this article, shall  
37 forthwith be destroyed by the division of criminal justice services and  
38 by any police department, prosecutor's office or law enforcement agency  
39 having any such photograph, photographic plate or proof, palmprint,  
40 fingerprints or retina scan in its possession or under its control.  
41 Where fingerprints subject to the provisions of this section have been  
42 received by the division of criminal justice services and have been  
43 filed by the division as digital images, such images may be retained,  
44 provided that a fingerprint card of the individual is on file with the  
45 division which was not destroyed pursuant to this section.

46 (ii) Every official record and paper and duplicates and copies there-  
47 of, including, but not limited to, judgments and orders of a court but  
48 not including published court decisions or opinions or records and  
49 briefs on appeal, relating to the conviction, on file with the agency  
50 shall be marked as sealed by conspicuously indicating on the face of the  
51 record or at the beginning of the digitized file of the record that the  
52 record has been designated as sealed.

53 (b) Third-party agencies shall seal information and all records, docu-  
54 ments and papers relating to the eligible conviction as follows:

55 (i) Every police department, prosecutor's office or law enforcement  
56 agency, including the division of criminal justice services, which tran-

1 mitted or otherwise forwarded to any agency of the United States or of  
2 any other state or jurisdiction outside of this state copies of any such  
3 photographs, photographic plates or proofs, palmprints, fingerprints or  
4 retina scans, shall forthwith formally inform such agency in writing  
5 that the matter has been sealed and request in writing that all such  
6 copies be destroyed.

7 (ii) Every official record and paper and duplicates and copies there-  
8 of, including, but not limited to, judgments and orders of a court but  
9 not including published court decisions or opinions or records and  
10 briefs on appeal, relating to the conviction, on file with the agency  
11 shall be marked as sealed by conspicuously indicating on the face of the  
12 record or at the beginning of the digitized file of the record that the  
13 record has been designated as sealed.

14 4. (a) Nothing in this section requires the destruction of DNA infor-  
15 mation maintained in the New York state DNA database of such individual  
16 pursuant to the provisions of the executive law in regard to the eligi-  
17 ble conviction.

18 (b) Nothing in this section requires the sealing or destruction of  
19 records maintained by the department of motor vehicles, and nothing in  
20 this section shall be construed to contravene the vehicle and traffic  
21 law, the federal driver's privacy protection act (18 U.S.C 2721 et.  
22 seq.), or the Commercial Motor Vehicle Safety Act of 1986 (49 U.S.C.  
23 31311).

24 (c) The division of criminal justice services is authorized to  
25 disclose a conviction that is sealed pursuant to this section to enti-  
26 ties that are required by federal law, or by rules and regulations  
27 promulgated by a self-regulatory organization created under federal law,  
28 to consider sealed convictions. Such entities must certify to the divi-  
29 sion that they are required by federal law, or by rules and regulations  
30 promulgated by a self-regulatory organization that has been created  
31 under federal law, to make an inquiry about or consider records sealed  
32 pursuant to this section for purposes of employment, licensing, or  
33 clearance. To the extent permitted by federal law, a record sealed  
34 pursuant to this section may not be considered a conviction that would  
35 prohibit the employment, licensing or clearance of the defendant.

36 (d) Nothing in this section shall prohibit entities required by feder-  
37 al law, or by rules and regulations promulgated by a self-regulatory  
38 organization that has been created under federal law, from making an  
39 inquiry about or considering an applicant's criminal history for  
40 purposes of employment, licensing, or clearance from inquiring into  
41 convictions sealed pursuant to this section.

42 (e) In any civil action, an official record of a conviction that has  
43 been sealed pursuant to this section may not be introduced as evidence  
44 of negligence against a person or entity that provided employment,  
45 contract labor or services, volunteer work, licensing, tenancy, a home  
46 purchase, a mortgage, an education, a loan, or insurance if such record  
47 was sealed and was not provided to the person or entity by or on behalf  
48 of a governmental entity in accordance with this section in response to  
49 such person's or entity's authorized and timely request for conviction  
50 history information.

51 (f) A person or entity described in this subdivision, acting reason-  
52 ably and in good faith, may not have a duty to investigate the fact of a  
53 prior conviction that has been sealed pursuant to this section.

54 5. No defendant shall be required or permitted to waive eligibility  
55 for sealing pursuant to this section as part of a plea of guilty,

1 sentence or any agreement related to a conviction for a violation of the  
2 laws of this state. Any such waiver is void and unenforceable.

3 6. Sealing as set forth in subdivision three of this section is with-  
4 out prejudice to a defendant or their attorney seeking further relief  
5 pursuant to section 440.10 of this chapter. Nothing in this section  
6 shall diminish or abrogate any rights or remedies otherwise available to  
7 the defendant.

8 7. All records for a conviction subject to sealing under this section  
9 where the conviction was entered on or before the effective date of this  
10 section shall receive the appropriate relief promptly and, in any event,  
11 no later than two years after such effective date.

12 8. A conviction which is sealed pursuant to this section is included  
13 within the definition of a conviction for the purposes of any criminal  
14 proceeding in which the fact of a prior conviction would enhance a  
15 penalty or is an element of the offense charged.

16 9. Any defendant claiming to be aggrieved by a violation of this  
17 section shall have a cause of action in any court of appropriate juris-  
18 isdiction for damages, including punitive damages, and such other remedies  
19 as may be appropriate. The provisions of this article shall also be  
20 enforceable by the division of human rights pursuant to the powers and  
21 procedures set forth in article fifteen of the executive law.

22 § 2. Subdivision 3 of section 845-d of the executive law, as added by  
23 section 1 of subpart N of part II of chapter 55 of the laws of 2019, is  
24 amended to read as follows:

25 3. Nothing in this section shall authorize the division to provide  
26 criminal history information that is not otherwise authorized by law or  
27 that is sealed pursuant to section 160.50, 160.55, 160.57, 160.58 or  
28 160.59 of the criminal procedure law.

29 § 3. Section 837 of the executive law is amended by adding a new  
30 subdivision 23 to read as follows:

31 23. Promulgate a standardized form for use by individuals to notify  
32 the division of criminal justice services of convictions subject to  
33 sealing under section 160.57 of the criminal procedure law, but for  
34 which the division has not taken the requisite action for related  
35 records.

36 § 4. Subdivision 16 of section 296 of the executive law, as amended by  
37 section 2 of subpart O of part II of chapter 55 of the laws of 2019, is  
38 amended to read as follows:

39 16. It shall be an unlawful discriminatory practice, unless specif-  
40 ically required or permitted by statute, for any person, agency, bureau,  
41 corporation or association, including the state and any political subdi-  
42 vision thereof, to make any inquiry about, whether in any form of appli-  
43 cation or otherwise, or to act upon adversely to the individual  
44 involved, any arrest or criminal accusation of such individual not then  
45 pending against that individual which was followed by a termination of  
46 that criminal action or proceeding in favor of such individual, as  
47 defined in subdivision two of section 160.50 of the criminal procedure  
48 law, or by an order adjourning the criminal action in contemplation of  
49 dismissal, pursuant to section 170.55, 170.56, 210.46, 210.47, or 215.10  
50 of the criminal procedure law, or by a youthful offender adjudication,  
51 as defined in subdivision one of section 720.35 of the criminal proce-  
52 dure law, or by a conviction for a violation sealed pursuant to section  
53 160.55 of the criminal procedure law or by a conviction which is sealed  
54 pursuant to section 160.59 or 160.58 of the criminal procedure law, or  
55 by a conviction which is sealed pursuant to section 160.57 of the crimi-  
56 nal procedure law, in connection with the licensing, housing, employ-



1 ment, including volunteer positions, or providing of credit or insurance  
2 to such individual; provided, further, that no person shall be required  
3 to divulge information pertaining to any arrest or criminal accusation  
4 of such individual not then pending against that individual which was  
5 followed by a termination of that criminal action or proceeding in favor  
6 of such individual, as defined in subdivision two of section 160.50 of  
7 the criminal procedure law, or by an order adjourning the criminal  
8 action in contemplation of dismissal, pursuant to section 170.55 or  
9 170.56, 210.46, 210.47 or 215.10 of the criminal procedure law, or by a  
10 youthful offender adjudication, as defined in subdivision one of section  
11 720.35 of the criminal procedure law, or by a conviction for a violation  
12 sealed pursuant to section 160.55 of the criminal procedure law, or by a  
13 conviction which is sealed pursuant to section 160.58 or 160.59 of the  
14 criminal procedure law, or by a conviction which is sealed pursuant to  
15 section 160.57 of the criminal procedure law. An individual required or  
16 requested to provide information in violation of this subdivision may  
17 respond as if the arrest, criminal accusation, or disposition of such  
18 arrest or criminal accusation did not occur. The provisions of this  
19 subdivision shall not apply to the licensing activities of governmental  
20 bodies in relation to the regulation of guns, firearms and other deadly  
21 weapons or in relation to an application for employment as a police  
22 officer or peace officer as those terms are defined in subdivisions  
23 thirty-three and thirty-four of section 1.20 of the criminal procedure  
24 law; provided further that the provisions of this subdivision shall not  
25 apply to an application for employment or membership in any law enforce-  
26 ment agency with respect to any arrest or criminal accusation which was  
27 followed by a youthful offender adjudication, as defined in subdivision  
28 one of section 720.35 of the criminal procedure law, or by a conviction  
29 for a violation sealed pursuant to section 160.55 of the criminal proce-  
30 dure law, or by a conviction which is sealed pursuant to section 160.58  
31 or 160.59 of the criminal procedure law, or by a conviction which is  
32 sealed pursuant to section 160.57 of the criminal procedure law. For  
33 purposes of this subdivision, an action which has been adjourned in  
34 contemplation of dismissal, pursuant to section 170.55 or 170.56,  
35 210.46, 210.47 or 215.10 of the criminal procedure law, shall not be  
36 considered a pending action, unless the order to adjourn in contem-  
37 plation of dismissal is revoked and the case is restored to the calendar  
38 for further prosecution.

39 § 5. Section 9 of the correction law, as added by section 2 of part 00  
40 of chapter 56 of the laws of 2010, is amended to read as follows:

41 § 9. Access to inmate information via the internet. Notwithstanding  
42 any provision of law to the contrary, any information relating to the  
43 conviction of a person[~~, except for a person convicted of an offense~~  
44 ~~that would make such person ineligible for merit time under section~~  
45 ~~eight hundred three of this chapter or an offense for which registration~~  
46 ~~as a sex offender is required as set forth in subdivision two or three~~  
47 ~~of section one hundred sixty eight a of this chapter,~~] that is posted on  
48 a website maintained by or for the department, under article six of the  
49 public officers law, may be posted on such website for a period not to  
50 exceed [~~five~~] three years after the expiration of such person's sentence  
51 of imprisonment and at the conclusion of any period of parole or post-  
52 release supervision[~~, provided, however, that in the case of a person~~  
53 ~~who has been committed to the department on more than one occasion, the~~  
54 ~~department may post conviction information relating to any prior commit-~~  
55 ~~ment on such website for a period not to exceed five years after the~~  
56 ~~expiration of such person's sentence of imprisonment and any period of~~

1 ~~parole or post release supervision arising from the most recent commit-~~  
2 ~~ment to the department~~].

3 § 6. Severability. If any provision of this act or the application  
4 thereof to any person, corporation or circumstances is held invalid,  
5 such invalidity shall not affect other provisions or applications of the  
6 act which can be given effect without the invalid provision or applica-  
7 tion, and to this end the provisions of this act are declared to be  
8 severable.

9 § 7. This act shall take effect on the one hundred twentieth day after  
10 it shall have become a law.