## STATE OF NEW YORK

1029--A

2023-2024 Regular Sessions

## IN ASSEMBLY

January 13, 2023

Introduced by M. of A. CRUZ, PRETLOW, GONZALEZ-ROJAS, MEEKS, BURGOS, MAMDANI, WALKER, JACKSON, SEAWRIGHT, SIMON, DICKENS, HYNDMAN, EPSTEIN, ANDERSON, KELLES, BURDICK, GALLAGHER, CARROLL, SEPTIMO, L. ROSENTHAL, ZINERMAN, REYES, HEVESI, DARLING, AUBRY, MITAYNES, WEPRIN, LAVINE, JOYNER, BICHOTTE HERMELYN, JEAN-PIERRE, KIM, HUNTER, CLARK, RIVERA, BRONSON, GIBBS, DE LOS SANTOS, DAVILA, TAYLOR, COOK, VANEL, FAHY, TAPIA, CUNNINGHAM, GLICK, LUCAS, CHANDLER-WATERMAN, DINOWITZ, OTIS, ARDILA, BORES, O'DONNELL, RAGA, SHRESTHA, SHIMSKY, SIMONE, ALVAREZ, LEVENBERG, FORREST, ZACCARO, MCDONALD, LEE, SOLAGES, STIRPE -- Multi-Sponsored by -- M. of A. RAMOS -- 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.

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- 1. Convictions for certain traffic infractions and violations or any
  crime defined in the laws of this state shall be sealed in accordance
  with paragraph (c) of this subdivision as follows:
  - (a) Convictions for subdivision one of section eleven hundred ninetytwo 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; in calculating

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

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the time periods under this section, any period of time during which the defendant was incarcerated on a determinate or indeterminate sentence for a period of at least one year shall be excluded and such time period 3 4 shall be extended by a period equal to the time served under such incar-5 ceration with such period being calculated from the original sentencing 6 date, notwithstanding any modification or vacatur of the original judg-7 ment, conviction, or sentence and the entry of the new judgment, 8 conviction, or sentence;

- 9 (ii) the defendant does not have a subsequent criminal charge pending 10 in this state;
- 11 (iii) the defendant is not currently under the supervision of any 12 probation or parole department for the eligible conviction;
- (iv) the conviction is not defined as a sex offense or sexually 13 violent offense under section one hundred sixty-eight-a of the 14 15 correction law; and
  - (v) the defendant is a natural person.

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- (c) Where a conviction is eligible for sealing pursuant to this section before, on, or after the effective date of this section, the division of criminal justice services shall immediately notify the office of court administration, the court of conviction, and the heads of all appropriate police and sheriff departments, prosecutor's offices, and law enforcement agencies that the conviction is sealed.
- (d) Records of convictions sealed pursuant to this section including photographs, photographic plates or proofs, palmprints, fingerprints or retina scans shall not be accessed by or made available to any person or public or private agency, or used by any entity covered by subdivision three of this section except for:
  - (i) the defendant and such defendant's counsel;
- (ii) any court, defense counsel or prosecutor for the purposes of a 29 30 pending criminal proceeding or proceedings brought in a criminal court 31 pursuant to article six-C of the correction law;
  - (iii) qualified agencies, as defined in subdivision nine of section eight hundred thirty-five of the executive law, federal and state law enforcement agencies, and interstate and international authorities as defined in subdivision three of section two of the public authorities law, when acting within the scope of their law enforcement duties;
  - (iv) the court, prosecutor, and defense counsel if the defendant becomes a witness in a criminal proceeding, or the claimant and respondent if the defendant becomes a witness in a civil proceeding;
  - (v) when an individual is a defendant in a criminal proceeding or proceedings brought in a criminal court pursuant to article six-C of the correction law and the sealed records of conviction of a third party are integral to their defense. In such instances, use of sealed records of conviction shall be requested upon ex parte motion in any superior court, or in any district court, city court or the criminal court of the city of New York provided that such court is where the action is pending. The applicant must demonstrate to the satisfaction of the court that the records will be used for the purpose of this subparagraph;
- (vi) entities that are required by state or federal law to request and receive a fingerprint-based check of criminal history information, including the state education department office of school personnel 52 review and accountability for the purposes of sections three thousand four-b, three thousand one-d, and three thousand thirty-five of the 54 education law, provided, however, that a person whose criminal history information is retrieved pursuant to this paragraph shall be furnished with a copy of such information, together with a copy of article twen-56

ty-three-A of the correction law, and informed of his or her right to seek correction of any incorrect information contained in such criminal history information pursuant to regulations and procedures established by the division of criminal justice services. Provided further, that nothing herein shall prohibit the commissioner of education or the office of school personnel review and accountability from receiving or using convictions sealed pursuant to this section for purposes of subdi-visions seven, seven-a and seven-b of section three hundred five of the education law;

(vii) pursuant to applicable regulations promulgated by the commissioner of the division of criminal justice services, specified entities that are authorized by state or federal law to request and receive a fingerprint-based check of criminal history information in relation to the provision of care or services to children, as defined in subdivision one of section three hundred seventy-one of the social services law, and vulnerable persons, as defined in subdivision fifteen of section four hundred eighty-eight of the social services law, provided, however, that a person whose criminal history information is retrieved pursuant to this paragraph shall be provided with a copy of such criminal history information, together with a copy of article twenty-three-A of the correction law, and informed of his or her right to seek correction of any incorrect information contained in such criminal history information pursuant to regulations and procedures established by the division of criminal justice services;

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

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

(x) for the purposes of civilian investigation or evaluation of a civilian complaint or civil action concerning law enforcement or prosecution actions, upon ex parte motion in any superior court, or in any district court, city court or the criminal court of the city of New York provided that such court sealed the record; the applicant must demonstrate to the satisfaction of the court that the records will be used for the purposes of this subparagraph;

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

(xii) when an individual seeks to avail themselves of a public program or benefit, including but not limited to an immigration benefit, for which the sealed records of conviction of a third party are integral to their application for such program or benefit. In such instances, the

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1 individual or their attorney shall request the use of sealed records
2 pursuant to a form as prescribed in subdivision twenty-three of section
3 eight hundred thirty-seven of the executive law;

(xiii) for the purpose of collection of restitution ordered pursuant to section 60.27 of the penal law. In such instances, use of sealed records shall be requested upon ex parte motion in any superior court, or in any district court, city court or criminal court of the city of New York provided that such court is where the action is pending. The applicant must demonstrate to the satisfaction of the court that the records will be used for the purpose of this subparagraph;

(xiv) transportation network companies that are required or authorized by state law to request criminal history information pursuant to section sixteen hundred ninety-nine of the vehicle and traffic law; and

(xv) the state education department for the purposes of:

15 (1) investigating professional misconduct as defined in subparagraph (i) of paragraph (a) of subdivision five of section sixty-five hundred 16 17 nine of the education law, consideration of restoration of a professional license pursuant to section sixty-five hundred eleven of the 18 education law, or determinations for issuing a license to practice a 19 20 profession or issuing certificates and privileges for which prior licen-21 sure is required, for the professions of medicine, physician assistant, 22 specialist assistant, chiropractic, dentistry, dental hygiene, regis-23 tered dental assisting, perfusion, veterinary medicine, veterinary technology, physical therapy, physical therapist assistant, pharmacy, regis-24 25 tered pharmacy technician, nursing as a registered professional nurse, licensed practical nurse, nurse practitioner, and clinical nurse 26 27 specialist, midwifery, podiatry, optometry, ophthalmic dispensing, engi-28 neering, architecture, public accountancy as a public accountant and certified public accountant, psychology, licensed master social work, 29 30 licensed clinical social work, massage therapy, occupational therapy, 31 occupational therapy assistant, dietetics and nutrition, speech-language pathology, audiology, acupuncture, athletic training, mental health 32 33 counseling, marriage and family therapy, creative arts therapy, psycho-34 analysis, respiratory therapy, respiratory therapy technician, polysomnographic technology, applied behavior analysis as a licensed behavior 35 analyst and certified behavior analyst assistant as such professions are 36 37 defined in title eight of the education law, provided that the state 38 education department certifies to the division of criminal justice 39 services that it is investigating an individual licensed to practice a 40 profession pursuant to article one hundred thirty of the education law for professional misconduct as defined in paragraph (a) of subdivision 41 42 five of section sixty-five hundred nine of the education law, consider-43 ing restoration of a professional license pursuant to section sixty-five hundred eleven of the education law, or making a determination for issu-44 45 ing a license to practice a profession or issuing certificates and priv-46 ileges for which prior licensure is required as appropriate, and that a 47 person whose criminal history information is retrieved pursuant to this paragraph shall be furnished with a copy of such information, together 48 49 with a copy of article twenty-three-A of the correction law, and 50 informed of his or her right to seek correction of any incorrect information contained in such criminal history information pursuant to requ-51 52 lations and procedures established by the division of criminal justice services. Provided, further, that the board of regents may consider any 53 54 prior conviction that formed the basis of a determination of the board 55 of regents in a disciplinary proceeding pursuant to section sixty-five hundred ten of the education law and the rules and regulations promul-56

gated pursuant thereto in an application for reconsideration, even if such conviction later becomes automatically sealed pursuant to this section.

- (e) Where the sealing required by this paragraph has not taken place, or where supporting court records cannot be located or have been destroyed, and a defendant or their attorney submits notification of such fact to the division of criminal justice services, as prescribed in subdivision twenty-three of section eight hundred thirty-seven of the executive law, within thirty days of such notice to the division, the conviction shall be sealed as set forth in this subdivision.
- 2. Where a conviction is eligible for sealing pursuant to this section before, on, or after the effective date of this section, the commissioner of the division of criminal justice services shall immediately notify the office of court administration, the court of conviction and the heads of all appropriate police and sheriff departments, prosecutors' offices and law enforcement agencies that the conviction is sealed. Upon receipt of such notification, records of or relating to such conviction shall be immediately sealed pursuant to this section.
- (a) Any such entity that possesses information, records, documents or papers related to the eligible conviction shall seal them as follows:
- (i) Every photograph of such defendant and photographic plates or proof, and all palmprints, fingerprints and retina scans taken or made of such individual pursuant to the provisions of this article in regard to the eligible conviction, and all duplicates, reproductions, and copies thereof, except a digital fingerprint that is on file with the division of criminal justice services for a conviction that has not been sealed pursuant to this section shall be marked as sealed by the division of criminal justice services and by any police department, prosecutor's office or law enforcement agency having any such photograph, photographic plate or proof, palmprint, fingerprints or retina scan in its possession or under its control by conspicuously indicating on the face of the record or at the beginning of the digitized file of the record that the record has been designated as sealed. Where fingerprints subject to the provisions of this section have been received by the division of criminal justice services and have been filed by the division as digital images, such images may remain unsealed, provided that a fingerprint card of the individual is on file with the division which was not sealed pursuant to this section.
- (ii) Every official record and paper and duplicates and copies thereof, including, but not limited to, judgments and orders of a court but
  not including published court decisions or opinions or records and
  briefs on appeal, relating to the conviction, on file with the agency
  shall be marked as sealed by conspicuously indicating on the face of the
  record or at the beginning of the digitized file of the record that the
  record has been designated as sealed.
- (b) Third-party agencies shall seal information and all records, documents and papers relating to the eligible conviction as follows:
- (i) Every police department, prosecutor's office or law enforcement agency, including the division of criminal justice services, which transmitted or otherwise forwarded to any agency of the United States or of any other state or jurisdiction outside of this state copies of any such photographs, photographic plates or proofs, palmprints, fingerprints or retina scans, shall forthwith formally inform such agency in writing that the matter has been sealed and request in writing that all such copies be marked as sealed by conspicuously indicating on the face of

the record or at the beginning of the digitized file of the record that
the record has been designated as sealed.

- (ii) Every official record and paper and duplicates and copies thereof, including, but not limited to, judgments and orders of a court but
  not including published court decisions or opinions or records and
  briefs on appeal, relating to the conviction, on file with the agency
  shall be marked as sealed by conspicuously indicating on the face of the
  record or at the beginning of the digitized file of the record that the
  record has been designated as sealed.
- 3. (a) Nothing in this section requires the sealing or destruction of DNA information maintained in the New York state DNA database of such individual pursuant to the provisions of the executive law in regard to the eliqible conviction.
  - (b) Nothing in this section requires the sealing or destruction of records maintained by the department of motor vehicles, and nothing in this section shall be construed to contravene the vehicle and traffic law, the federal driver's privacy protection act (18 U.S.C 2721 et. seq.), the REAL ID Act of 2005 (Public Law 109-13; 49 U.S.C. 30301 note), section 7209 of the Intelligence Reform and Terrorism Prevention Act of 1986 (49 U.S.C. 31311), or regulations promulgated pursuant to any such chapter or act.
  - (c) The division of criminal justice services is authorized to disclose a conviction that is sealed pursuant to this section to entities that are required by federal law, or by rules and regulations promulgated by a self-regulatory organization created under federal law, to consider sealed convictions. Such entities must certify to the division that they are required by federal law, or by rules and regulations promulgated by a self-regulatory organization that has been created under federal law, to make an inquiry about or consider records sealed pursuant to this section for purposes of employment, licensing, or clearance. To the extent permitted by federal law, a record sealed pursuant to this section may not be considered a conviction that would prohibit the employment, licensing or clearance of the defendant.
  - (d) Nothing in this section shall prohibit entities required by federal law, or by rules and regulations promulgated by a self-regulatory organization that has been created under federal law, from making an inquiry about or considering an applicant's criminal history for purposes of employment, licensing, or clearance from inquiring into convictions sealed pursuant to this section.
- (e) In any civil action, an official record of a conviction that has been sealed pursuant to this section may not be introduced as evidence of negligence against a person or entity that provided employment, contract labor or services, volunteer work, licensing, tenancy, a home purchase, a mortgage, an education, a loan, or insurance if such record was sealed and was not provided to the person or entity by or on behalf of a governmental entity in accordance with this section in response to such person's or entity's authorized and timely request for conviction history information.
- (f) A person or entity described in this subdivision, acting reasonably and in good faith, may not have a duty to investigate the fact of a prior conviction that has been sealed pursuant to this section.
- 4. No defendant shall be required or permitted to waive eligibility
  for sealing pursuant to this section as part of a plea of guilty,
  sentence or any agreement related to a conviction for a violation of the
  laws of this state. Any such waiver is void and unenforceable.

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5. Sealing as set forth in subdivision two of this section is without prejudice to a defendant or their attorney seeking further relief pursuant to article four hundred forty of this chapter. Nothing in this section is intended or shall be interpreted to diminish or abrogate any rights or remedies otherwise available to the defendant.

- 6. All records for a conviction subject to sealing under this section where the conviction was entered on or before the effective date of this section shall receive the appropriate relief promptly and, in any event, no later than two years after such effective date.
- 7. A conviction which is sealed pursuant to this section is included within the definition of a conviction for the purposes of any criminal proceeding in which the fact of a prior conviction would enhance a penalty or is an element of the offense charged.
- 8. Any defendant claiming to be aggrieved by a violation of this section shall have a cause of action in any court of appropriate jurisdiction for damages, including punitive damages, and such other remedies as may be appropriate. The provisions of this article shall also be enforceable by the division of human rights pursuant to the powers and procedures set forth in article fifteen of the executive law.
- Section 845-d of the executive law is amended by adding a new subdivision 4 to read as follows:
- 4. Nothing in this section shall authorize the division to provide criminal history information that is sealed pursuant to section 160.57 of the criminal procedure law to any entity other than those explicitly authorized by that section to receive or access such information.
- § 3. Section 837 of the executive law is amended by adding three new subdivisions 24, 25 and 26 to read as follows:
- 24. Promulgate a standardized form for use by individuals to notify the division of criminal justice services of convictions subject to sealing under section 160.57 of the criminal procedure law, but for which the division has not taken the requisite action for related
- 25. Promulgate a certification process whereby individuals seeking use of sealed records pursuant to subparagraph (xii) of paragraph (d) of subdivision one of section 160.57 of the criminal procedure law may request and access records.
- 26. Adopt, amend and rescind such regulations as may be necessary to effectuate the provisions of subparagraph (vii) of paragraph (d) of subdivision one of section 160.57 of the criminal procedure law to determine entities authorized to receive sealed records for purposes of occupations that involve regular and substantial unsupervised or unrestricted physical contact with children as defined in subdivision one of section three hundred seventy-one of the social services law, and vulnerable persons, as defined in subdivision fifteen of section four hundred eighty-eight of the social services law.
- § 4. Subdivision 16 of section 296 of the executive law, as amended by section 2 of subpart O of part II of chapter 55 of the laws of 2019, is amended to read as follows:
- 16. It shall be an unlawful discriminatory practice, unless specifically required or permitted by statute, for any person, agency, bureau, 50 51 corporation or association, including the state and any political subdi-52 vision thereof, to make any inquiry about, whether in any form of application or otherwise, or to act upon adversely to the individual 53 involved, any arrest or criminal accusation of such individual not then pending against that individual which was followed by a termination of 55 that criminal action or proceeding in favor of such individual, as

defined in subdivision two of section 160.50 of the criminal procedure law, or by an order adjourning the criminal action in contemplation of dismissal, pursuant to section 170.55, 170.56, 210.46, 210.47, or 215.10 4 the criminal procedure law, or by a youthful offender adjudication, 5 as defined in subdivision one of section 720.35 of the criminal procedure law, or by a conviction for a violation sealed pursuant to section 7 160.55 of the criminal procedure law or by a conviction which is sealed pursuant to section 160.59 or 160.58 of the criminal procedure law, or 9 by a conviction which is sealed pursuant to section 160.57 of the crimi-10 nal procedure law, except where such conviction record is accessed 11 pursuant to subparagraph (vi), (vii), or (xv) of paragraph (d) of subdi-12 vision one of section 160.57 of the criminal procedure law, in connection with the licensing, housing, employment, including volunteer 13 14 positions, or providing of credit or insurance to such individual; 15 provided, further, that no person shall be required to divulge information pertaining to any arrest or criminal accusation of such individual 16 17 not then pending against that individual which was followed by a termination of that criminal action or proceeding in favor of such individ-18 ual, as defined in subdivision two of section 160.50 of the criminal 19 20 procedure law, or by an order adjourning the criminal action in contem-21 plation of dismissal, pursuant to section 170.55 or 170.56, 210.46, 22 or 215.10 of the criminal procedure law, or by a youthful offen-23 der adjudication, as defined in subdivision one of section 720.35 of the criminal procedure law, or by a conviction for a violation sealed pursu-24 25 ant to section 160.55 of the criminal procedure law, or by a conviction which is sealed pursuant to section 160.58 or 160.59 of the criminal 26 27 procedure law, or by a conviction which is sealed pursuant to section 28 160.57 of the criminal procedure law, except where such conviction record is accessed pursuant to subparagraph (vi), (vii), or (xv) of 29 paragraph (d) of subdivision one of section 160.57 of the criminal 30 31 procedure law. An individual required or requested to provide informa-32 tion in violation of this subdivision may respond as if the arrest, 33 criminal accusation, or disposition of such arrest or criminal accusa-34 tion did not occur. The provisions of this subdivision shall not apply 35 to the licensing activities of governmental bodies in relation to the 36 regulation of guns, firearms and other deadly weapons or in relation to 37 an application for employment as a police officer or peace officer as those terms are defined in subdivisions thirty-three and thirty-four of 39 section 1.20 of the criminal procedure law; provided further that the 40 provisions of this subdivision shall not apply to an application for employment or membership in any law enforcement agency with respect to 41 42 any arrest or criminal accusation which was followed by a youthful 43 offender adjudication, as defined in subdivision one of section 720.35 of the criminal procedure law, or by a conviction for a violation sealed pursuant to section 160.55 of the criminal procedure law, or by a 45 46 conviction which is sealed pursuant to section 160.58 or 160.59 of the 47 criminal procedure law, or by a conviction which is sealed pursuant to 48 section 160.57 of the criminal procedure law. For purposes of this 49 subdivision, an action which has been adjourned in contemplation of dismissal, pursuant to section 170.55 or 170.56, 210.46, 210.47 or 50 51 215.10 of the criminal procedure law, shall not be considered a pending 52 action, unless the order to adjourn in contemplation of dismissal is 53 revoked and the case is restored to the calendar for further prose-54 cution.

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20 21 § 5. Section 9 of the correction law, as added by section 2 of part 00 of chapter 56 of the laws of 2010, the section heading as amended by chapter 322 of the laws of 2021, is amended to read as follows:

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- § 9. Access to information of incarcerated individuals via the internet. Notwithstanding any provision of law to the contrary, any information relating to the conviction of a person[ - except for a person convicted of an offense that would make such person ineligible for merit time under section eight hundred three of this chapter or an offense for which registration as a sex offender is required as set forth in subdivision two or three of section one hundred sixty-eight-a of this chapter, that is posted on a website maintained by or for the department, under article six of the public officers law, may be posted on such website for a period not to exceed [five | three years after the expiration of such person's sentence of imprisonment and at the conclusion of any period of parole or post-release supervision[ - provided, however, that in the case of a person who has been committed to the department on more than one occasion, the department may post conviction information relating to any prior commitment on such website for a period not to exceed five years after the expiration of such person's sentence of imprisonment and any period of parole or post-release supervision arising from the most recent commitment to the department].
- § 6. Severability. If any provision of this act or the application thereof to any person, corporation or circumstances is held invalid, such invalidity shall not affect other provisions or applications of the act which can be given effect without the invalid provision or application, and to this end the provisions of this act are declared to be severable.
- 28 § 7. This act shall take effect on the one hundred twentieth day after 29 it shall have become a law.