LC004289

## 2014 -- H 7413

# STATE OF RHODE ISLAND

#### IN GENERAL ASSEMBLY

#### JANUARY SESSION, A.D. 2014

## AN ACT

#### RELATING TO CRIMINAL PROCEDURE

Introduced By: Representatives Naughton, Fellela, Shekarchi, and Diaz

Date Introduced: February 12, 2014

Referred To: House Finance

(Attorney General)

It is enacted by the General Assembly as follows:

1	SECTION 1. Title 12 of the General Laws entitled "CRIMINAL PROCEDURE" is
2	hereby amended by adding thereto the following chapter:
3	CHAPTER 1.6
4	NATIONAL CRIMINAL RECORDS CHECK SYSTEM
5	12-1.6-1. Automated fingerprint identification system database The department of
6	attorney general may establish and maintain an automated fingerprint identification system
7	database that would allow the department to store and maintain all fingerprints submitted in
8	accordance with the national criminal records check system. The automated fingerprint
9	identification system database would provide for an automatic notification if, and when, a
10	subsequent criminal arrest fingerprint card is submitted to the system that matches a set of
11	fingerprints previously submitted in accordance with a national criminal records check. If the

12 aforementioned arrest results in a conviction, the department shall immediately notify those

13 individuals and entities with which that individual is associated and who are required to be

14 notified of disqualifying information concerning national criminal records checks as provided in

15 chapters 17, 17.4, 17.7.1 of title 23 or § 23-1-52. The information in the database established

16 <u>under this section is confidential and not subject to disclosure under chapter 38-2.</u>

17 <u>12-1.6-2. Long-term healthcare workers. --</u> The department of attorney general shall
 18 maintain an electronic, web-based system to assist facilities, licensed under chapters 17, 17.4,
 19 17.7.1 of title 23 or § 23-1-52, required to check relevant registries and conduct national criminal

1 records checks of routine contact patient employees. The department of attorney general shall 2 provide for an automated notice, as authorized in § 12-1.6-1, to those facilities if a routine contact 3 patient employee is subsequently convicted of a disqualifying offense, as described in the relevant 4 licensing statute. The department of attorney general may charge a facility a one-time, set-up fee 5 of up to one hundred dollars (\$100) for access to the electronic web-based system under this 6 section. 7 12-1.6-3. Immunity from liability. -- The department of attorney general; the 8 department of health; or an employer who disqualifies an applicant from employment or 9 continued employment; on the basis of a disqualification notice as described in § 12-1.6-2, or of a

10 <u>national criminal records check relating to disqualifying information, shall not be liable for civil</u>

11 damages or subject to any claim, demand, cause of action, or proceeding of any nature as a result

12 <u>of the disqualification.</u>

- 13 <u>12-1.6-4. Rules and regulations. --</u> The department of attorney general may promulgate
   rules and regulations to carry out the intent of this chapter.
- SECTION 2. Section 23-1-52 of the General Laws in Chapter 23-1 entitled "Department
  of Health" is hereby amended to read as follows:
- 17 <u>23-1-52. Adult day care program licensure. --</u> (a) The director is authorized and 18 directed to establish a program for the licensure of adult day care programs. "Adult day care 19 program" shall mean a comprehensive, nonresidential program designed to address the biological, 20 psychological, and social needs of adults through individual plans of care that incorporate, as 21 needed, a variety of health, social, and related support services in a protective setting. The 22 director is further authorized to promulgate regulations as he or she deems necessary to 23 implement these provisions.
- 24 (b) Any person seeking employment in any adult day care facility licensed herein and having routine contact with an adult day care client or having access to such a client's belongings 25 26 or funds shall undergo a national criminal records check that shall include fingerprints submitted 27 to the Federal Bureau of Investigation (FBI) by the bureau of criminal identification of the 28 department of attorney general. The national criminal records check shall be processed prior to, or 29 within one week of, employment. All persons who, as of September 30, 2014, are already 30 employed by an adult day care facility and all persons who, as of such date, already provide 31 services under this section shall be exempted from the requirements of this section for purposes 32 of their current employment only. 33 (1) The director may, by rule, identify those positions requiring national criminal records

1 of the department of attorney general for a national criminal records check. Upon the discovery of 2 any disqualifying information as defined in § 23-1-52(c), and in accordance with rules 3 promulgated by the director, the bureau of criminal identification of the department of attorney 4 general shall inform the applicant in writing, of the nature of the disqualifying information; and, 5 without disclosing the nature of the disqualifying information, shall notify the employer, in writing, that disqualifying information has been discovered. 6 7 (2) An employee against whom disqualifying information has been found may provide a 8 copy of the national criminal records check to the employer. The employer shall make a judgment 9 regarding the continued employment of the employee. 10 (3) In those situations in which no disqualifying information has been found, the bureau 11 of criminal identification of the department of attorney general shall inform the applicant and the 12 employer, in writing, of this fact. 13 (4) The employer shall maintain on file, subject to inspection by the department of health, 14 evidence that statewide criminal records checks have been initiated on all employees seeking 15 employment between January 1, 2008, and September 30, 2014, and the results of the checks. The 16 employer shall maintain on file, subject to inspection by the department, evidence that national 17 criminal records checks have been initiated on all employees seeking employment on or after 18 October 1, 2014, and the results of those checks. Failure to maintain that evidence may be 19 grounds to revoke the license or registration of the employer. 20 (5) The employee shall be responsible for the cost of conducting the national criminal 21 records check through the bureau of criminal identification of the department of attorney general. 22 (c) Information produced by a national criminal records check pertaining to conviction 23 for the following crimes will result in a letter to the employee and employer disqualifying the 24 applicant from employment: murder, voluntary manslaughter, involuntary manslaughter, firstdegree sexual assault, second-degree sexual assault, third-degree sexual assault, assault on 25 26 persons sixty (60) years of age or older, assault with intent to commit specified felonies (murder, 27 robbery, rape, burglary, or the abominable and detestable crimes against nature), felony assault, 28 patient abuse, neglect or mistreatment of patients, burglary, first-degree arson, robbery, felony 29 drug offenses, felony obtaining money under false pretenses, felony embezzlement, abuse, 30 neglect and/or exploitation of adults with severe impairments, exploitation of elders, felony 31 larceny, or felony banking law violations, or a crime under section 1128(a) of the Social Security 32 Act (42 U.S.C. §1320a-7(a)). An employee against whom disqualifying information has been 33 found may provide a copy of the national criminal records check to the employer who shall make 34 a judgment regarding the continued employment of the employee. For purposes of this

1 subsection, "conviction" means, in addition to judgments of conviction entered by a court

2 <u>subsequent to a finding of guilty or a plea of guilty, those instances where the defendant has</u>

3 entered a plea of nolo contendere and has received a sentence of probation and those instances

- 4 where a defendant has entered into a deferred sentence agreement with the attorney general.
- 5 SECTION 3. Sections 23-17-34 and 23-17-37 of the General Laws in Chapter 23-17 6 entitled "Licensing of Health Care Facilities" are hereby amended to read as follows:
- 0

7 23-17-34. Criminal records review - Nursing facilities - Home nursing care 8 providers and home care providers. -- (a) Any person seeking employment in a nursing facility, 9 a home nursing care provider, hospice provider, or a home care provider which who is or is 10 required to be, licensed, registered, or certified with the department of health if that employment 11 involves routine contact with a patient or resident without the presence of other employees, shall 12 undergo a national criminal background records check to which shall include fingerprints 13 submitted to the Federal Bureau of Investigation (FBI) by the bureau of criminal identification of 14 the department of attorney general. The national criminal records check shall be initiated prior to, 15 or within one week of, employment. All employees hired prior to the enactment of this section 16 shall be exempted from the requirements of this section. All persons who, as of September, 30, 17 2014, are already employed by a covered facility or provider and all persons who, as of such date, 18 already provide services under this chapter, shall be exempted from the requirements of this

19 20

(b) The director of the department of health may, by rule, identify those positions

section for purposes of their current employment only.

21 requiring criminal background records checks. The identified employee, through the employer, 22 shall apply to the bureau of criminal identification of the state police or local police department of attorney general for a statewide national criminal records check. Fingerprinting shall not be 23 24 required. Upon the discovery of any disqualifying information as defined in section §23-17-37 25 and, in accordance with the rule promulgated by the director of health, the bureau of criminal 26 identification of the state police or the local police department of attorney general will inform the 27 applicant, in writing, of the nature of the disqualifying information; and, without disclosing the 28 nature of the disqualifying information, will notify the employer, in writing, that disqualifying 29 information has been discovered.

30 (c) An employee against whom disqualifying information has been found may provide
 31 request that a copy of the <u>national</u> criminal records check <u>background report be sent</u> to the
 32 employer who shall make a judgment regarding the continued employment of the employee.

33 (d) In those situations in which no disqualifying information has been found, the bureau
 34 of criminal identification of the state police or the local police department of attorney general

1 shall inform the applicant and the employer, in writing, of this fact.

(e) The employer shall maintain on file, subject to inspection by the department of health,
evidence that <u>statewide</u> criminal records checks have been initiated on all employees seeking
employment <u>after between</u> October 1, 1991, and September 30, 2014, and the results of the
checks. Failure to maintain that evidence would be grounds to revoke the license or registration of
the employer. <u>The employer shall maintain on file, subject to inspection by the department of</u>
health, evidence that national criminal records checks have been initiated on all employees
seeking employment on or after October 1, 2014, and the results of those checks.

9 (f) It shall be the responsibility of the bureau of criminal identification of the state police 10 or the local police department to conduct the criminal records check to the applicant for 11 employment without charge to either the employee or the employer. The employee shall be 12 responsible for the cost of conducting the national criminal records check through the bureau of 13 criminal identification of the department of attorney general.

14 23-17-37. Disqualifying information. -- (a) Information produced by a <u>national</u> criminal 15 records review <u>check</u> pertaining to conviction, for the following crimes will result in a letter to 16 the employee and employer disqualifying the applicant from employment: murder, voluntary 17 manslaughter, involuntary manslaughter, first\_degree sexual assault, second\_degree sexual 18 assault, third-degree sexual assault, assault on persons sixty (60) years of age or older, assault 19 with intent to commit specified felonies (murder, robbery, rape, burglary, or the abominable and 20 detestable crime against nature) felony assault, patient abuse, neglect or mistreatment of patients, 21 burglary, first\_degree arson, robbery, felony drug offenses, felony larceny, or felony banking law 22 violations, felony obtaining money under false pretenses, felony embezzlement, abuse, neglect 23 and/or exploitation of adults with severe impairments, exploitation of elders, or a crime under 24 section 1128(a) of the Social Security Act (42 U.S.C. §1320a-7(a)). An employee against whom 25 disqualifying information has been found may request that provide a copy of the national criminal 26 background report be sent records check to the employer who shall make a judgment regarding 27 the continued employment of the employee.

(b) For purposes of this section, "conviction" means, in addition to judgments of conviction entered by a court subsequent to a finding of guilty or a plea of guilty, those instances where the defendant has entered a plea of nolo contendere and has received a sentence of probation and those instances where a defendant has entered into a deferred sentence agreement with the attorney general.

33 SECTION 4. Chapter 23-17 of the General Laws entitled "Licensing of Health Care
 34 Facilities" is hereby amended by adding thereto the following section:

1 23-17-62. Criminal records review - long-term care hospital. -- (a) For the purposes of 2 this section, a "long-term care hospital" shall mean a facility as described in 42 U.S.C. 1395 § 3 ww(d)(1)(iv), that receives payment for inpatient services it provides to Medicare beneficiaries 4 pursuant to 42 U.S.C. § 1395ww(m). 5 (b) Any person seeking employment in any long-term care hospital, having routine contact with a long-term care hospital patient or having access to such a patient's belongings or 6 7 funds, shall undergo a national criminal records check that shall include fingerprints submitted to 8 the Federal Bureau of Investigation (FBI) by the bureau of criminal identification of the 9 department of attorney general. The national criminal records check shall be processed prior to, or 10 within one week of, employment. All persons who, as of September 30, 2014, are already 11 employed by a long-term care hospital and all persons who, as of such date, already provide 12 services under this section, shall be exempted from the requirements of this section for purposes 13 of their current employment only. 14 (1) The director may, by rule, identify those positions requiring national criminal records 15 checks. The employee, through the employer, shall apply to the bureau of criminal identification 16 of the department of attorney general for a national criminal records check. Upon the discovery of 17 any disqualifying information, as defined in § 23-17-62(c), and in accordance with the rule 18 promulgated by the director, the bureau of criminal identification of the department of attorney 19 general shall inform the applicant, in writing, of the nature of the disqualifying information; and, 20 without disclosing the nature of the disqualifying information, shall notify the employer, in 21 writing, that disqualifying information has been discovered. 22 (2) An employee against whom disqualifying information has been found may provide a copy of the national criminal records report to the employer. The employer shall make a judgment 23 24 regarding the continued employment of the employee. 25 (3) In those situations in which no disqualifying information has been found, the bureau 26 of criminal identification of the department of attorney general shall inform the applicant and the 27 employer, in writing, of this fact. 28 (4) The employer shall maintain on file, subject to inspection by the department, evidence 29 that statewide criminal records checks have been initiated on all employees seeking employment 30 between October 1, 1991, and September 30, 2014, and the results of the checks. The employer 31 shall maintain on file, subject to inspection by the department, evidence that national criminal 32 records checks have been initiated on all employees seeking employment on or after October 1, 2014, and the results of those checks. Failure to maintain that evidence would be grounds to 33 34 revoke the license or registration of the employer.

1 (5) The employee shall be responsible for the cost of conducting the national criminal 2 records check through the bureau of criminal identification of the department of attorney general. 3 (c) Information produced by a national criminal records check pertaining to conviction, 4 for the following crimes will result in a letter to the employee and employer disqualifying the 5 applicant from employment: murder, voluntary manslaughter, involuntary manslaughter, firstdegree sexual assault, second-degree sexual assault, third-degree sexual assault, assault on 6 7 persons sixty (60) years of age or older, assault with intent to commit specified felonies (murder, 8 robbery, rape, burglary, or the abominable and detestable crimes against nature), felony assault, 9 patient abuse, neglect or mistreatment of patients, burglary, first-degree arson, robbery, felony 10 drug offenses, felony obtaining money under false pretenses, felony embezzlement, abuse, 11 neglect and/or exploitation of adults with severe impairments, exploitation of elders, felony 12 larceny, or felony banking law violations, or a crime under section 1128(a) of the Social Security 13 Act (42 U.S.C. §1320a-7(a)). An employee against whom disqualifying information has been 14 found may provide a copy of the national criminal records check to the employer who shall make 15 a judgment regarding the continued employment of the employee. For purposes of this 16 subsection, "conviction" means, in addition to judgments of conviction entered by a court subsequent to a finding of guilty or a plea of guilty, those instances where the defendant has 17 entered a plea of nolo contendere and has received a sentence of probation and those instances 18 19 where a defendant has entered into a deferred sentence agreement with the attorney general. 20 SECTION 5. Sections 23-17.4-27 and 23-17.4-30 of the General Laws in Chapter 23-21 17.4 entitled "Assisted Living Residence Licensing Act" are hereby amended to read as follows: 22 23-17.4-27. Criminal records review. -- (a) Any person seeking employment in any assisted living residence licensed under this act, and having routine contact with a resident or 23 24 having access to a resident's belongings or funds, shall undergo a national criminal background records check to that shall include fingerprints submitted to the Federal Bureau of Investigation 25 26 (FBI) by the bureau of criminal identification of the department of attorney general. The national 27 criminal records check shall be processed prior to or within one week of employment. All 28 employees hired prior to the enactment of this section shall be exempted from the requirements of 29 this section. All persons who, as of September 30, 2014, are already employed by an assisted 30 living residence and all persons who, as of such date, already provide services under this chapter, 31 shall be exempted from the requirements of this section for purposes of their current employment 32 only.

33 (b) The director of the department of health may, by rule, identify those positions
 34 requiring <u>national</u> criminal <u>background</u> <u>records</u> checks. The employee, through the employer,

1 shall apply to the bureau of criminal identification of the state police or local police department of 2 attorney general for a statewide national criminal records check. Fingerprinting shall not be 3 required. Upon the discovery of any disqualifying information as defined in section §23-17.4-30. 4 and in accordance with the rule promulgated by the director of health, the bureau of criminal 5 identification of the state police or the local police department of attorney general will inform the applicant in writing of the nature of the disqualifying information; and, without disclosing the 6 7 nature of the disqualifying information, will notify the employer in writing that disqualifying 8 information has been discovered.

9 (c) An employee against whom disqualifying information has been found may request 10 that provide a copy of the <u>national</u> criminal background report be sent records check to the 11 employer. The administrator shall make a judgment regarding the continued employment of the 12 employee.

(d) In those situations in which no disqualifying information has been found, the bureau
of criminal identification (BCI) of the state police or the local police department of attorney
general shall inform the applicant and the employer in writing of this fact.

(e) The employer shall maintain on file, subject to inspection by the department of health,
evidence that <u>statewide</u> criminal records checks have been initiated on all employees seeking
employment <u>after between</u> October 1, 1991, <u>and September 30, 2014</u>, and the results of the
checks. <u>The employer shall maintain on file, subject to inspection by the department of health,</u>
evidence that national criminal records checks have been initiated on all employees seeking
employment on or after October 1, 2014, and the results of those checks. Failure to maintain that
evidence would be grounds to revoke the license or registration of the employer.

(f) It shall be the responsibility of the bureau of criminal identification (BCI) of the state police or the local police department to conduct the criminal records check to the applicant for employment without charge to either the employee or employer. The employee shall be responsible for the cost of conducting the national criminal records check through the bureau of criminal identification of the department of attorney general.

28 <u>23-17.4-30. Disqualifying information. --</u> (a) Information produced by a <u>national</u> 29 criminal records <u>review check</u> pertaining to conviction, for the following crimes will result in a 30 letter to the employee and employer disqualifying the applicant from employment: murder, 31 voluntary manslaughter, involuntary manslaughter, first\_degree sexual assault, second\_degree 32 sexual assault, third\_degree sexual assault, assault on persons sixty (60) years of age or older, 33 assault with intent to commit specified felonies (murder, robbery, rape, burglary, or the 34 abominable and detestable crime against nature) felony assault, patient abuse, neglect or mistreatment of patients, burglary, first\_degree arson, robbery, felony drug offenses, <u>felony</u>
obtaining money under false pretenses, felony embezzlement, abuse, neglect and/or exploitation
of adults with severe impairments, exploitation of elders, felony larceny or felony banking law
violations. An employee against whom disqualifying information has been found may request
that provide a copy of the <u>national</u> criminal background report be sent records check to the
employer who shall make a judgment regarding the continued employment of the employee.

7 (b) For purposes of this section, "conviction" means, in addition to judgments of 8 conviction entered by a court subsequent to a finding of guilty or a plea of guilty, those instances 9 where the defendant has entered a plea of nolo contendere and has received a sentence of 10 probation and those instances where a defendant has entered into a deferred sentence agreement 11 with the attorney general.

SECTION 6. Sections 23-17.7.1-17 and 23-17.7.1-20 of the General Laws in Chapter 2317.7.1 entitled "Licensing of Nursing Service Agencies" are hereby amended to read as follows:

14 23-17.7.1-17. Criminal records review. -- (a) Any person seeking employment in a 15 facility which who is or is required to be licensed or registered with the department of health if 16 that employment involves routine contact with a patient or resident without the presence of other 17 employees, shall undergo a <u>national</u> criminal background records check, which that shall include fingerprints submitted to the Federal Bureau of Investigation (FBI) by the bureau of criminal 18 19 identification of the department of attorney general. The national criminal records check shall be 20 initiated prior to, or within one week of, employment. All employees hired prior to the enactment 21 of this section shall be exempted from the requirements of this section. All persons who, as of 22 September 30, 2014, are already employed by a covered facility and all persons who, as of such 23 date, already provide services under this chapter, shall be exempt from the requirements of this 24 section for purposes of their current employment only.

25 (b) The director of the department of health may, by rule, identify those positions 26 requiring <u>national</u> criminal <u>background</u> <u>records</u> checks. The employee, through the employer, 27 shall apply to the bureau of criminal identification of the state police or local police department of 28 attorney general for a statewide national criminal records check. Fingerprinting shall not be 29 required. Upon the discovery of any disqualifying information as defined in section §23-17.7.1-30 20, and in accordance with the rule promulgated by the director of the department of health, the 31 bureau of criminal identification of the state police or the local police department of attorney 32 general will inform the applicant, in writing, of the nature of the disqualifying information; and, 33 without disclosing the nature of the disqualifying information, will notify the employer, in 34 writing, that disqualifying information has been discovered.

1 (c) An employee against whom disqualifying information under section §23-17.7.1-20(b) 2 has been found may request that provide a copy of the national criminal background report be 3 sent records check to the employer who shall make a judgment regarding the continued 4 employment of the employee.

5 (d) In those situations in which no disqualifying information has been found, the bureau of criminal identification of the state police or the local police department of attorney general 6 7 shall inform the applicant and the employer, in writing, of this fact.

8 (e) The employer shall maintain on file, subject to inspection by the department of health, 9 evidence that criminal records checks have been initiated on all employees seeking employment 10 between October 1, 1991, and September 30, 2014, and the results of the checks. The employer 11 shall maintain on file, subject to inspection by the department of health, evidence that national 12 criminal records checks have been initiated on all employees seeking employment on or after 13 October 1, 2014, and the results of those checks. Failure to maintain that evidence would be 14 grounds to revoke the license or registration of the employer.

15 (f) It shall be the responsibility of the bureau of criminal identification of the state police5 16 or the local police department to conduct the criminal records check to the applicant for 17 employment without charge to either the employee or the employer. The employee shall be 18 responsible for the cost of conducting the national criminal records check through the bureau of 19 criminal identification of the department of attorney general.

20

23-17.7.1-20. Disqualifying information. -- (a) Information produced by a national 21 criminal records review check pertaining to conviction, for the following crimes will result in a 22 letter to the employee and employer disqualifying the applicant from the employment: murder, voluntary manslaughter, involuntary manslaughter, first\_degree sexual assault, second\_degree 23 24 sexual assault, third\_degree sexual assault, assault on persons sixty (60) years of age or older, 25 assault with intent to commit specified felonies (murder, robbery, rape, burglary, or the 26 abominable and detestable crime against nature), felony assault, patient abuse, neglect or 27 mistreatment of patients, first-degree arson, robbery, felony drug offenses, larceny, or felony 28 banking law violations felony obtaining money under false pretenses, felony embezzlement, 29 abuse, neglect, and/or exploitation of adults with severe impairments, exploitation of elders, 30 felony larceny, or felony banking law violations or a crime under section 1128(a) of the Social 31 Security Act (42 U.S.C. §1320a-7(a)).

32 (b) Information produced by a <u>national</u> criminal records review <u>check</u> pertaining to convictions for crimes other than those listed in subsection (a) of this section shall entitle, but not 33 34 obligate the employer, to decline to hire the applicant. An employee against whom conviction information related to this subsection has been found may request that provide a copy of the national criminal background report be sent records check to the employer who shall make a determination regarding the continued employment of the employee.

- 4 (c) For purposes of this section "conviction" means, in addition to judgments of 5 conviction entered by a court subsequent to a finding of guilty or a plea of guilty, those instances 6 where the defendant has entered a plea of nolo contendere and has received a sentence of 7 probation and those instances where a defendant has entered into a deferred sentence agreement 8 with the attorney general.
- 9 SECTION 7. Section 1 of this act shall take effect upon passage. Sections 2, 3, 3, 5 and 6
  10 of this act shall take effect on September 30, 2014.

LC004289

### **EXPLANATION**

## BY THE LEGISLATIVE COUNCIL

### OF

## AN ACT

## RELATING TO CRIMINAL PROCEDURE

#### \*\*\*

1	This act would expand the type of criminal records check required for persons applying
2	to be routine contact patient employees in a long-term facility or provider.

- 3 Section 1 of this act would take effect upon passage. Sections 2, 3, 4, 5 and 6 would take
- 4 effect on September 30, 2014.

#### ====== LC004289 ======