

SENATE BILL No. 414

DIGEST OF INTRODUCED BILL

Citations Affected: IC 10-13-3; IC 16-18-2; IC 16-28-14.7; IC 34-30-2-67.7; IC 35-51-16-1.

Synopsis: Health facility employee criminal background checks. Requires a health facility to obtain a national criminal history background check or an expanded criminal history check for the health facility's employees. Provides immunity to persons: (1) for denying or terminating employment because of another person's criminal history; or (2) for reporting to or participating in the proceedings of the state department of health or the registry of nurse aides.

Effective: July 1, 2014.

Broden, Randolph

January 14, 2014, read first time and referred to Committee on Civil Law.



Second Regular Session 118th General Assembly (2014)

PRINTING CODE. Amendments: Whenever an existing statute (or a section of the Indiana Constitution) is being amended, the text of the existing provision will appear in this style type, additions will appear in **this style type**, and deletions will appear in ~~this style type~~.

Additions: Whenever a new statutory provision is being enacted (or a new constitutional provision adopted), the text of the new provision will appear in **this style type**. Also, the word **NEW** will appear in that style type in the introductory clause of each SECTION that adds a new provision to the Indiana Code or the Indiana Constitution.

Conflict reconciliation: Text in a statute in *this style type* or ~~this style type~~ reconciles conflicts between statutes enacted by the 2013 Regular Session and 2013 First Regular Technical Session of the General Assembly.

SENATE BILL No. 414

A BILL FOR AN ACT to amend the Indiana Code concerning health.

Be it enacted by the General Assembly of the State of Indiana:

- 1 SECTION 1. IC 10-13-3-16, AS AMENDED BY P.L.197-2007,
2 SECTION 1, IS AMENDED TO READ AS FOLLOWS [EFFECTIVE
3 JULY 1, 2014]: Sec. 16. (a) As used in this chapter, "qualified entity"
4 means a business or an organization, whether public, private, for-profit,
5 nonprofit, or voluntary, that provides care or care placement services.
6 (b) The term includes the following:
7 (1) A business or an organization that licenses or certifies others
8 to provide care or care placement services.
9 (2) A home health agency licensed under IC 16-27-1.
10 (3) A personal services agency licensed under IC 16-27-4.
11 **(4) A health facility licensed under IC 16-28-2.**
12 SECTION 2. IC 10-13-3-39, AS AMENDED BY P.L.155-2011,
13 SECTION 3, IS AMENDED TO READ AS FOLLOWS [EFFECTIVE
14 JULY 1, 2014]: Sec. 39. (a) The department is designated as the
15 authorized agency to receive requests for, process, and disseminate the
16 results of national criminal history background checks that comply with



1 this section and 42 U.S.C. 5119a.

2 (b) A qualified entity may contact the department to request a
3 national criminal history background check on any of the following
4 persons:

5 (1) A person who seeks to be or is employed with the qualified
6 entity. A request under this subdivision must be made not later
7 than three (3) months after the person is initially employed by the
8 qualified entity.

9 (2) A person who seeks to volunteer or is a volunteer with the
10 qualified entity. A request under this subdivision must be made
11 not later than three (3) months after the person initially volunteers
12 with the qualified entity.

13 (3) A person for whom a national criminal history background
14 check is required under any law relating to the licensing of a
15 home, center, or other facility for purposes of day care or
16 residential care of children.

17 (4) A person for whom a national criminal history background
18 check is required for purposes of placement of a child in a foster
19 family home, a prospective adoptive home, or the home of a
20 relative or other caretaker, or for purposes of a report concerning
21 an adoption as required by IC 31-19-8.

22 (c) A qualified entity must submit a request under subsection (b) in
23 the form required by the department and provide a set of the person's
24 fingerprints and any required fees with the request.

25 (d) If a qualified entity makes a request in conformity with
26 subsection (b), the department shall submit the set of fingerprints
27 provided with the request to the Federal Bureau of Investigation for a
28 national criminal history background check. The department shall
29 respond to the request in conformity with:

30 (1) the requirements of 42 U.S.C. 5119a; and

31 (2) the regulations prescribed by the Attorney General of the
32 United States under 42 U.S.C. 5119a.

33 (e) Subsection (f):

34 (1) applies to a qualified entity that:

35 (A) is not a school corporation or a special education
36 cooperative; or

37 (B) is a school corporation or a special education cooperative
38 and seeks a national criminal history background check for a
39 volunteer; and

40 (2) does not apply to a qualified entity that is a:

41 (A) home health agency licensed under IC 16-27-1; ~~or~~

42 (B) personal services agency licensed under IC 16-27-4; **or**



1 **(C) health facility licensed under IC 16-28-2.**

2 (f) After receiving the results of a national criminal history
3 background check from the Federal Bureau of Investigation, the
4 department shall make a determination whether the person who is the
5 subject of a request has been convicted of:

- 6 (1) an offense described in IC 20-26-5-11;
7 (2) in the case of a foster family home, an offense described in
8 IC 31-27-4-13(a);
9 (3) in the case of a prospective adoptive home, an offense
10 described in IC 31-19-11-1(c);
11 (4) any other felony; or
12 (5) any misdemeanor;

13 and convey the determination to the requesting qualified entity.

14 (g) This subsection applies to a qualified entity that:

- 15 (1) is a school corporation or a special education cooperative; and
16 (2) seeks a national criminal history background check to
17 determine whether to employ or continue the employment of a
18 certificated employee or a noncertificated employee of a school
19 corporation or an equivalent position with a special education
20 cooperative.

21 After receiving the results of a national criminal history background
22 check from the Federal Bureau of Investigation, the department may
23 exchange identification records concerning convictions for offenses
24 described in IC 20-26-5-11 with the school corporation or special
25 education cooperative solely for purposes of making an employment
26 determination. The exchange may be made only for the official use of
27 the officials with authority to make the employment determination. The
28 exchange is subject to the restrictions on dissemination imposed under
29 P.L.92-544, (86 Stat. 1115) (1972).

30 (h) This subsection applies to a qualified entity (as defined in
31 IC 10-13-3-16) that is a public agency under IC 5-14-1.5-2(a)(1). After
32 receiving the results of a national criminal history background check
33 from the Federal Bureau of Investigation, the department shall provide
34 a copy to the public agency. Except as permitted by federal law, the
35 public agency may not share the information contained in the national
36 criminal history background check with a private agency.

37 (i) This subsection applies to a qualified entity that is a:

- 38 (1) home health agency licensed under IC 16-27-1; or
39 (2) personal services agency licensed under IC 16-27-4.

40 After receiving the results of a national criminal history background
41 check from the Federal Bureau of Investigation, the department shall
42 make a determination whether the applicant has been convicted of an



1 offense described in IC 16-27-2-5(a) and convey the determination to
2 the requesting qualified entity.

3 **(j) This subsection applies to a qualified entity that is a health**
4 **facility licensed under IC 16-28-2. After receiving the results of a**
5 **national criminal history background check from the Federal**
6 **Bureau of Investigation, the department shall make a**
7 **determination whether the applicant has been convicted of an**
8 **offense described in IC 16-28-14.7-3 and convey the determination**
9 **to the requesting qualified entity.**

10 **(k) The department:**

11 (1) may permanently retain an applicant's fingerprints submitted
12 under this section; and

13 (2) shall retain the applicant's fingerprints separately from
14 fingerprints collected under section 24 of this chapter.

15 SECTION 3. IC 16-18-2-121.3, AS ADDED BY P.L.42-2011,
16 SECTION 35, IS AMENDED TO READ AS FOLLOWS [EFFECTIVE
17 JULY 1, 2014]: Sec. 121.3. "Expanded criminal history check" **means**
18 **the following:**

19 (1) For purposes of IC 16-27-2, ~~has~~ the meaning set forth in
20 IC 16-27-2-0.5.

21 (2) **For purposes of IC 16-28-14.7, the meaning set forth in**
22 **IC 16-28-14.7-1.**

23 SECTION 4. IC 16-18-2-244.5, AS ADDED BY P.L.197-2007,
24 SECTION 4, IS AMENDED TO READ AS FOLLOWS [EFFECTIVE
25 JULY 1, 2014]: Sec. 244.5. "National criminal history background
26 check" **means the following:**

27 (1) For purposes of IC 16-27-2, ~~has~~ the meaning set forth in
28 IC 16-27-2-2.1.

29 (2) **For purposes of IC 16-28-14.7, the meaning set forth in**
30 **IC 16-28-14.7-2.**

31 SECTION 5. IC 16-28-14.7 IS ADDED TO THE INDIANA CODE
32 AS A NEW CHAPTER TO READ AS FOLLOWS [EFFECTIVE
33 JULY 1, 2014]:

34 **Chapter 14.7. Criminal Background Checks of Employees**

35 **Sec. 1. As used in this chapter, "expanded criminal history**
36 **check" means a criminal history check of an individual, obtained**
37 **through a private agency, that includes the following:**

38 (1) **A search of the records maintained by all counties in**
39 **Indiana in which the individual who is the subject of the**
40 **background check resided.**

41 (2) **A search of the records maintained by all counties or**
42 **similar governmental units in another state, if the individual**



- 1 who is the subject of the background check resided or worked
2 in another state.
- 3 **Sec. 2.** As used in this chapter, "national criminal history
4 background check" means the determination provided by the state
5 police department under IC 10-13-3-39(j).
- 6 **Sec. 3. (a)** A person may not operate a health facility if the
7 person has been convicted of any of the following:
- 8 (1) Rape (IC 35-42-4-1).
 - 9 (2) Criminal deviate conduct (IC 35-42-4-2) (before its
10 repeal).
 - 11 (3) Exploitation of a dependent or an endangered adult
12 (IC 35-46-1-12).
 - 13 (4) Failure to report battery, neglect, or exploitation of an
14 endangered adult (IC 35-46-1-13).
 - 15 (5) Theft (IC 35-43-4), if the person's conviction for theft
16 occurred less than ten (10) years before the date of submission
17 by the person of an application for licensure as a health
18 facility.
 - 19 (6) A felony that is substantially equivalent to a felony listed
20 in subdivisions (1) through (5) for which the conviction was
21 entered in another state.
- 22 **(b)** A person who knowingly or intentionally violates this section
23 commits a Class A misdemeanor.
- 24 **Sec. 4. (a)** A person who operates a health facility shall apply,
25 not more than three (3) business days after the date that an
26 employee who will have direct contact with a patient begins
27 employment, for a copy of the employee's national criminal history
28 background check or an expanded criminal history check.
- 29 **(b)** A health facility may not employ a person for more than
30 three (3) business days without applying for a national criminal
31 history background check or an expanded criminal history check.
- 32 **Sec. 5. (a)** Except as provided in subsection (b), a person who
33 operates a health facility may not employ a person who has direct
34 contact with a patient if that person's national criminal history
35 background check or expanded criminal history check indicates
36 that the person has been convicted of any of the following:
- 37 (1) Rape (IC 35-42-4-1).
 - 38 (2) Criminal deviate conduct (IC 35-42-4-2) (before its
39 repeal).
 - 40 (3) Exploitation of a dependent or an endangered adult
41 (IC 35-46-1-12).
 - 42 (4) Failure to report battery, neglect, or exploitation of an



1 endangered adult (IC 35-46-1-13).

2 (5) Theft (IC 35-43-4), if the conviction for theft occurred less
3 than ten (10) years before the person's employment
4 application date.

5 (6) A felony that is substantially equivalent to a felony listed
6 in:

7 (A) subdivisions (1) through (4); or

8 (B) subdivision (5), if the conviction for theft occurred less
9 than ten (10) years before the person's employment
10 application date;

11 for which the conviction was entered in another state.

12 (b) A health facility may not employ a person who has direct
13 contact with a patient for more than twenty-one (21) calendar days
14 without receipt of that person's national criminal history
15 background check or expanded criminal history check unless the
16 state police department, the Federal Bureau of Investigation under
17 IC 10-13-3-39, or the private agency providing the national
18 criminal history background check or expanded criminal history
19 check is responsible for failing to provide the person's national
20 criminal history background check or expanded criminal history
21 check to the health facility within the time required under this
22 subsection.

23 Sec. 6. (a) A person who operates a health facility is responsible
24 for the payment of fees under IC 10-13-3-39 and other fees
25 required under this chapter.

26 (b) A health facility may require a person who applies to the
27 health facility for employment that involves direct contact with a
28 patient:

29 (1) to pay the cost of fees described in subsection (a) to the
30 health facility at the time the person submits an application
31 for employment; or

32 (2) to reimburse the health facility for the cost of fees
33 described in subsection (a).

34 Sec. 7. A person who:

35 (1) operates a health facility; and

36 (2) violates section 4 or 5 of this chapter;

37 commits a Class A infraction.

38 Sec. 8. A person (other than a person denied employment or
39 dismissed under this chapter or against whom a finding is made for
40 the registry of nurse aides under 42 CFR 483.156) who in good
41 faith:

42 (1) denies employment to an individual or dismisses an



1 individual from employment under this chapter;
 2 (2) testifies or participates in an investigation or an
 3 administrative or a judicial proceeding arising from:
 4 (A) this chapter; or
 5 (B) 42 CFR 483 regarding the registry of nurse aides; or
 6 (3) makes a report to the state department or the registry of
 7 nurse aides;

8 is immune from both civil and criminal liability arising from those
 9 actions.

10 SECTION 6. IC 34-30-2-67.7 IS ADDED TO THE INDIANA
 11 CODE AS A NEW SECTION TO READ AS FOLLOWS
 12 [EFFECTIVE JULY 1, 2014]: **Sec. 67.7. IC 16-28-14.7-8 (Concerning**
 13 **persons who deny or terminate employment of an individual with**
 14 **a criminal history, or who report to or participate in the**
 15 **proceedings of the state department of health or the registry of**
 16 **nurse aides).**

17 SECTION 7. IC 35-51-16-1, AS AMENDED BY P.L.292-2013,
 18 SECTION 12, IS AMENDED TO READ AS FOLLOWS [EFFECTIVE
 19 JULY 1, 2014]: Sec. 1. The following statutes define crimes in IC 16:

20 IC 16-19-12-1 (Concerning the state department of health).

21 IC 16-20-1-25 (Concerning local health departments).

22 IC 16-20-9-1 (Concerning local health departments).

23 IC 16-21-2-2.5 (Concerning licensure of hospitals).

24 IC 16-21-5-3 (Concerning licensure of hospitals).

25 IC 16-21-6-12 (Concerning hospital financial disclosure law).

26 IC 16-21-7-5 (Concerning hospitals).

27 IC 16-25-5-8 (Concerning hospices).

28 IC 16-25-6-1 (Concerning hospices).

29 IC 16-27-1-15 (Concerning home health agencies).

30 IC 16-27-2-3 (Concerning home health agencies).

31 IC 16-27-4-23 (Concerning home health agencies).

32 IC 16-28-7-5 (Concerning monitors).

33 IC 16-28-9-3 (Concerning monitors).

34 IC 16-28-9-4 (Concerning monitors).

35 IC 16-28-9-5 (Concerning monitors).

36 **IC 16-28-14.7-3 (Concerning health facilities).**

37 IC 16-30-5-1 (Concerning health planning).

38 IC 16-31-3-16 (Concerning emergency medical services).

39 IC 16-31-3-22 (Concerning emergency medical services).

40 IC 16-31-10-2 (Concerning emergency medical services).

41 IC 16-34-2-5 (Concerning abortion).

42 IC 16-34-2-6 (Concerning abortion).



1	IC 16-34-2-7 (Concerning abortion).
2	IC 16-36-4-15 (Concerning medical consent).
3	IC 16-36-4-16 (Concerning medical consent).
4	IC 16-36-5-27 (Concerning medical consent).
5	IC 16-36-5-28 (Concerning medical consent).
6	IC 16-37-1-12 (Concerning vital statistics).
7	IC 16-37-1-13 (Concerning vital statistics).
8	IC 16-37-2-2.1 (Concerning vital statistics).
9	IC 16-37-2-19 (Concerning vital statistics).
10	IC 16-37-3-16 (Concerning vital statistics).
11	IC 16-38-5-4 (Concerning health registries).
12	IC 16-39-7.1-3 (Concerning health records).
13	IC 16-39-7.1-6 (Concerning health records).
14	IC 16-41-1-3 (Concerning communicable diseases).
15	IC 16-41-2-9 (Concerning communicable diseases).
16	IC 16-41-3-3 (Concerning communicable diseases).
17	IC 16-41-4-3 (Concerning communicable diseases).
18	IC 16-41-5-3 (Concerning communicable diseases).
19	IC 16-41-6-3 (Concerning communicable diseases).
20	IC 16-41-7-5 (Concerning communicable diseases).
21	IC 16-41-8-1 (Concerning communicable diseases).
22	IC 16-41-8-3 (Concerning communicable diseases).
23	IC 16-41-8-5 (Concerning communicable diseases).
24	IC 16-41-9-1.5 (Concerning communicable diseases).
25	IC 16-41-10-5 (Concerning communicable diseases).
26	IC 16-41-10-7 (Concerning communicable diseases).
27	IC 16-41-12-13 (Concerning communicable diseases).
28	IC 16-41-12-14 (Concerning communicable diseases).
29	IC 16-41-12-15 (Concerning communicable diseases).
30	IC 16-41-13-3 (Concerning communicable diseases).
31	IC 16-41-13-4 (Concerning communicable diseases).
32	IC 16-41-13-6 (Concerning communicable diseases).
33	IC 16-41-14-13 (Concerning communicable diseases).
34	IC 16-41-14-15 (Concerning communicable diseases).
35	IC 16-41-14-16 (Concerning communicable diseases).
36	IC 16-41-14-17 (Concerning communicable diseases).
37	IC 16-41-14-20 (Concerning communicable diseases).
38	IC 16-41-15-18 (Concerning communicable diseases).
39	IC 16-41-16-11 (Concerning communicable diseases).
40	IC 16-41-18-6 (Concerning prevention and treatment programs).
41	IC 16-41-19-10 (Concerning prevention and treatment programs).
42	IC 16-41-20-13 (Concerning health, sanitation, and safety).



- 1 IC 16-41-21-18 (Concerning health, sanitation, and safety).
- 2 IC 16-41-21-19 (Concerning health, sanitation, and safety).
- 3 IC 16-41-22-21 (Concerning health, sanitation, and safety).
- 4 IC 16-41-22-22 (Concerning health, sanitation, and safety).
- 5 IC 16-41-23-4 (Concerning health, sanitation, and safety).
- 6 IC 16-41-24-11 (Concerning health, sanitation, and safety).
- 7 IC 16-41-25-2 (Concerning health, sanitation, and safety).
- 8 IC 16-41-27-34 (Concerning health, sanitation, and safety).
- 9 IC 16-41-29-5 (Concerning regulation of lodging facilities and
- 10 bedding materials).
- 11 IC 16-41-32-30 (Concerning regulation of lodging facilities and
- 12 bedding materials).
- 13 IC 16-41-33-9 (Concerning pest control).
- 14 IC 16-41-34-8 (Concerning pest control).
- 15 IC 16-41-35-40 (Concerning radiation).
- 16 IC 16-41-38-10 (Concerning radon gas).
- 17 IC 16-42-1-16 (Concerning Uniform Food, Drug, and Cosmetic
- 18 Act).
- 19 IC 16-42-1-34 (Concerning Uniform Food, Drug, and Cosmetic
- 20 Act).
- 21 IC 16-42-2-8 (Concerning Uniform Food, Drug, and Cosmetic
- 22 Act).
- 23 IC 16-42-2-9 (Concerning Uniform Food, Drug, and Cosmetic
- 24 Act).
- 25 IC 16-42-3-12 (Concerning Uniform Food, Drug, and Cosmetic
- 26 Act).
- 27 IC 16-42-4-5 (Concerning Uniform Food, Drug, and Cosmetic
- 28 Act).
- 29 IC 16-42-5-26 (Concerning sanitary requirements for food
- 30 establishments).
- 31 IC 16-42-5-27 (Concerning sanitary requirements for food
- 32 establishments).
- 33 IC 16-42-10-13 (Concerning food).
- 34 IC 16-42-18-7 (Concerning food).
- 35 IC 16-42-19-27 (Concerning the Indiana Legend Drug Act).
- 36 IC 16-42-21-4 (Concerning the Indiana Legend Drug Act).
- 37 IC 16-44-1-1 (Concerning product labeling and inspection).
- 38 IC 16-44-2-22 (Concerning product labeling and inspection).
- 39 IC 16-46-6-12 (Concerning state health grants and programs).

