

THE AMENDMENT OF THE THREE STRIKES SENTENCING LAW

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New to This Edition

The previously posted version of this memo was dated February 2015. This May 2016 version includes technical, non-substantive changes and the following updates:

Page 8 – Smith – no retroactive application of Prop 36

Page 12 – Caraballo – vicarious arming as a disqualifier under Prop 36

Page 38 – Dobson – Prop 36 does not apply to persons found NGI

Page 41 – Caraballo – vicarious arming as a disqualifier under Prop 36

Page 61 – Amaya – void resentencing

Page 68 – Valdez – use of writ of mandate

Page 70 – Valdez – no right to jury in determination of eligibility

Page 75 – Myers – no right to jury in determination of dangerousness

Page 82 – Myers – Prop 47 definition of dangerousness does not apply to Prop 36

Page 83 – Valdez – Prop 47 definition of dangerousness applies to Prop 36

Pages 92-93 – Garner – resentencing

Page 101 – Valdez – use of writ of mandate

TABLE OF CONTENTS

I. INTRODUCTION	5
II. AMENDMENT OF PROVISIONS GOVERNING THIRD STRIKE SENTENCES	6
A. Effective Date and Application of the New Sentencing Provisions	6
1. Effective date, generally	6
2. Effective date, mandatory consecutive sentencing.....	8
B. Sentencing a Multiple Strike Offender as a Second Strike Offender.....	9
1. Sentencing of mixed counts.....	9
C. Defendants Excluded From the New Sentencing Provisions.....	10
1. Defendants excluded because of current felony.....	10
3. No exclusion for dangerousness.....	28
4. Second strike offenders	28
III. AMENDMENT OF OTHER SENTENCING PROVISIONS.....	28
A. Amendment of Sections 1170.12(a)(7) and (8) Regarding Consecutive Sentencing.....	28
1. Amendment to section 1170.12(a)(7).....	29
2. Deletion of section 1170.12(a)(8)	30
3. Interpretation of conflicting code sections.....	30
4. Statutes otherwise mandating consecutive sentencing.....	32
5. Summary of rules regarding consecutive sentencing.....	33
B. Other Amendments	35
1. Dismissal of strikes by the court	35
2. Date of interpretation	35
IV. PETITION FOR RESENTENCING.....	37
A. The Petition.....	37
B. Initial Screening of the Petition	38
1. Service of a life term	38
2. Excluded felonies	39
3. Excluded inmates.....	51
C. The Qualification Hearing	64

1. The hearing officer	64
2. The setting of the hearing; notice; presence of petitioner	64
3. Qualification hearing: confirmation of eligibility.....	65
4. Qualification hearing: determination of unreasonable risk to public safety ..	69
5. The effect of Proposition 47	79
6. Amendment of the pleadings and retrial of the petitioner.....	89
D. Order of the Court on Resentencing.....	90
1. If resentencing is granted	90
2. If resentencing is denied.....	96
E. The Right to Counsel.....	96
1. Preparation of the petition and initial screening.....	96
2. The qualification hearing	96
3. The resentencing.....	97
F. Successive Petitions	97
G. Appellate Review	98
APPENDIX A: FULL TEXT OF PROPOSITION 36.....	100
APPENDIX B: RESOURCES AVAILABLE FROM CDCR.....	115
APPENDIX C: CDCR TABLE OF DEFENDANTS POTENTIALLY ELIGIBLE FOR RECONSIDERATION OF SENTENCE.....	117
APPENDIX D: PROPOSED PETITION FOR RESENTENCING	119
APPENDIX E: PROPOSED ORDER DENYING PETITION FOR RESENTENCING AFTER INITIAL SCREENING.....	121
APPENDIX F: PROPOSED WAIVER OF PERSONAL APPEARANCE BY PETITIONER.....	123
APPENDIX G: PROPOSED ORDER RE HEARING ON REQUEST FOR RESENTENCING	125
APPENDIX H: TABLE OF CRIMES THAT WILL QUALIFY FOR THIRD STRIKE SENTENCING	126

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I. INTRODUCTION

California's Three Strikes sentencing law was originally enacted in 1994. The Legislature's version of the law was created by amending Penal Code¹ section 667 to add subsections (b) through (i); the amendment became effective March 7, 1994. Thereafter, on November 8, 1994, the voters approved Proposition 184, which enacted a second version of the law by adding section 1170.12. Prior to the enactment of Proposition 36, the essence of the Three Strikes law was to require a defendant convicted of any new felony, having suffered one prior conviction of a serious felony as defined in section 1192.7(c), a violent felony as defined in section 667.5(c), or a qualified juvenile adjudication or out-of-state conviction (a "strike"), to be sentenced to state prison for twice the term otherwise provided for the crime. If the defendant was convicted of any felony with two or more prior strikes, the law mandated a state prison term of at least 25 years to life.

Although the list of serious and violent crimes was altered from time to time, the Three Strikes law itself remained unchanged for 18 years. However, on November 6, 2012 the voters approved Proposition 36 which substantially amended the law. The initiative contains two primary provisions. The first provision changes the requirements for sentencing a defendant as a third strike offender to 25 years to life. While the original version of the law applied to *any* new felony committed with two or more prior strikes, the new law requires the new felony to be a *serious or violent felony* with two or more prior strikes to qualify for the 25 year-to-life sentence as a third strike offender. The second major change made by Proposition 36 is the addition of a means by which designated defendants *currently serving* a third strike sentence may petition the court for reduction of their term to a second strike sentence, if they would have been eligible for second strike sentencing under the new law.

This memorandum will discuss the changes made by Proposition 36. The discussion generally will make reference only to section 667. Although there are some drafting differences between sections 667 and 1170.12, the courts have interpreted their operative provisions in same way. The full text of Proposition 36 is attached as Appendix A. The initiative makes a number of non-substantive technical changes in the law; these changes will not be discussed.

¹ Unless otherwise indicated, all further statutory references are to the Penal Code.

II. AMENDMENT OF PROVISIONS GOVERNING THIRD STRIKE SENTENCES

A. Effective Date and Application of the New Sentencing Provisions

1. Effective date, generally

Section 10 of Proposition 36 specifies its provisions become effective on the first day after enactment by the voters. Accordingly, the initiative became fully effective on November 7, 2012. Clearly the new law will apply to all crimes committed on or after that date. The issue is the extent to which it applies to crimes committed prior to the effective date. Whether Proposition 36 will be retroactive will depend on the application of the seminal case of *In re Estrada* (1965) 63 Cal.2d 740. Three cases have addressed this issue, with three different results.

Estrada teaches that “[w]hen the Legislature amends a statute so as to lessen the punishment it has obviously expressly determined that its former penalty was too severe and that a lighter punishment is proper as punishment for the commission of the prohibited act. It is an inevitable inference that the Legislature must have intended that the new statute imposing the new lighter penalty now deemed to be sufficient should apply to every case to which it constitutionally could apply. The amendatory act imposing the lighter punishment can be applied constitutionally to acts committed before its passage provided the judgment convicting the defendant of the act is not final. This intent seems obvious, because to hold otherwise would be to conclude that the Legislature was motivated by a desire for vengeance, a conclusion not permitted in view of modern theories of penology.” (*Estrada*, at p. 745.)

People v. Yearwood (2013) 213 Cal.App.4th 161, holds the new sentencing rules will not apply to crimes committed prior to November 7th, even if the case is not then final. *Yearwood* acknowledges the initiative does not contain an express savings clause, but determines that section 1170.126, the provision governing requests for resentencing, operates as an implied savings clause. Accordingly, if the defendant’s case is not final as of November 7, 2011, and the defendant believes he is entitled to be sentenced under the new law, the only remedy is to apply for resentencing under section 1170.126. In that context, the defendant must demonstrate not only that he is statutorily entitled to resentencing, but also must address the additional issue of dangerousness. The court expressly declined to apply the rule of statutory interpretation stated in *Estrada*. *Yearwood* is now final. *People v. Lester* (2013) 220 Cal.App.4th 291, generally is in accord with *Yearwood*.

People v. Conley (2013) 215 Cal.App.4th 1482, holds the new sentencing rules do not apply to cases where the defendant has been sentenced and has commenced service of the prison term, whether or not the case is final as of November 7, 2012. However, the new provisions do apply to cases where the defendant was not convicted or was not sentenced as of the effective date of Proposition 36. In *Conley* the defendant had been convicted of felony driving under the influence of alcohol with three or more prior convictions (a crime now generally limited to punishment as a second strike offender). Because the defendant had two prior strikes, the trial court sentenced him as a third strike offender to 25-years to life. The appellate court declined to apply *Estrada*: “The rule in *Estrada* does not apply ‘where the Legislature clearly signals its intent to make the amendment prospective, by the inclusion of either an express savings clause or its equivalent.’ (*People v. Nasalga* (1996) 12 Cal.4th 784, 793, fn. omitted.)” (*Conley* at p. 1489.) *Conley* acknowledges Proposition 36 has no express savings clause, but, like *Yearwood*, determines the resentencing provisions of section 1170.126 constitute an implied savings clause which defeats the *Estrada* presumption of retroactivity. *Conley* also observes that if the inmate seeks resentencing, the petition must wait until the case is final. This may result in the passage of a substantial period of time while the appeal is decided and the case becomes final. Thus the inability of the inmate to file an earlier petition would constitute “good cause” for the late filing. The application for resentencing would not constitute a bar to the appeal of a denial of a motion to dismiss a strike under section 1385. Finally, *Conley* holds their interpretation of Proposition 36 does not constitute a denial of equal protection in restricting its application to cases where the inmate has not been sentenced and serving a 25-year to life term. *Conley* has been granted review by the Supreme Court.

People v. Lewis (2013) 216 Cal.App.4th 468, concludes the *Estrada* rule applies: the new sentencing provisions of Proposition 36 are applicable to all cases not final as of November 7, 2012. “The [*Estrada*] rule and its continued vitality were most recently discussed by the California Supreme Court in *People v. Brown* (2012) 54 Cal.4th 314 (*Brown*.) In *Brown*, the court reiterated that *Estrada* ‘is today properly understood, not as weakening or modifying the default rule of prospective operation codified in section 3, but rather as informing the rule’s application in a specific context by *articulating the reasonable presumption that a legislative act mitigating the punishment for a particular criminal offense is intended to apply to all nonfinal judgments.*’ (*Id.* at p. 324, italics added.)” (*Lewis*, at p. 475.) *Lewis* held the absence of an express savings clause indicated the intent of the electorate to apply the *Estrada* rule. (Citing *People v. Nasalga* (1996) 12 Cal.4th 784, 793, and *Estrada*, p. 747; *Lewis* at p. 476.) *Lewis* also found their interpretation was fully consistent with the stated purpose of Proposition 36 to reserve the third strike sentences only for violent offenders, and to reduce prison over-crowding and costs of incarceration. *Lewis* disagreed with *Yearwood* and *Conley* to the extent those cases interpreted section 1170.126 as an implied

savings clause. The case also questioned *Yearwood's* conclusion that section 1170.126 could apply to sentences not yet final. *Lewis* has been granted review by the Supreme Court.

For the purposes of determining the retroactive application of a statute that mitigates the consequences of a crime, a case is not final until the expiration of the time for petitioning for a writ of certiorari in the United States Supreme Court. “In *Pedro T.* we cited with approval a case holding that, for the purpose of determining retroactive application of an amendment to a criminal statute, a judgment is not final until the time for petitioning for a writ of certiorari in the United States Supreme Court has passed. (*In re Pedro T.*, 8 Cal. 4th 1041, 1046, 36 Cal. Rptr.2d 74, 884 P.2d 1022 (1994), reh'g denied, (Feb.16,1995), citing *In re Pine*, 66 Cal. App. 3d 593, 594, 136 Cal. Rptr.718 (3d Dist. 1977); see also *Bell v. State of Md.*, 378 U.S. 226, 230, 84 S.Ct.1814, 12 L. Ed. 2d 822 (1964), on remand to, 236 Md. 356, 204 A.2d 54 (1964) [“The rule applies to any such [criminal] proceeding which, at the time of the supervening legislation, has not yet reached final disposition in the highest court authorized to review it”].)’ (*People v. Nasalga*, 12 Cal. 4th 784, 789 n. 5, 50 Cal. Rptr. 2d 88, 910 P.2d 1380 (1996), motion to recall remittitur denied, (May 20, 1996).)’ (*People v. Vieira* (2005) 35 Cal.4th 264, 305–306.) A petition for writ of certiorari is considered timely if filed with the court within 90 days after entry of judgment of the state court of last resort. (Rules of the U.S. Supreme Court, Rule 13.1.)

Finally, in *People v. Smith* (2015) 234 Cal.App.4th 1460, the court refused defendant’s request for direct resentencing under *Estrada*, even though the conviction was final prior to enactment of Proposition 36. The court held *Estrada* did not make the change in punishment retroactive to cases that had become final. (*Id.*, at pp. 1464-1465.)

2. Effective date, mandatory consecutive sentencing

As will be discussed, *infra*, Proposition 36 removes any discretion of the trial court to sentence multiple serious or violent crimes concurrently. The changes to section 1170.12(a)(7), mandating consecutive sentencing for multiple serious or violent felony convictions, will be effective only as to crimes committed on or after November 7, 2012. Since the mandatory provisions remove any of the court's discretion to sentence concurrently, the punishment is increased for crimes sentenced under this circumstance. To impose the statutory change on crimes committed prior to the effective date, therefore, would violate the *ex post facto* clause.

B. Sentencing a Multiple Strike Offender as a Second Strike Offender

Proposition 36 made a substantial change in the way persons with two or more prior strikes ("third strike" offenders) are sentenced. The initiative amends section 667(e)(2)(A) to provide that "[e]xcept as provided in subparagraph (C)," a person with two or more prior strikes must be sentenced to state prison for a term of no less than 25 years to life. Subparagraph (C) specifies that if the defendant has two or more prior strikes, **but the new felony is not a serious or violent felony as defined in subparagraph (d)** (*i.e.*, a California adult conviction for a serious or violent felony, an out-of-state adult conviction that would qualify as a serious or violent felony under California law, or a designated juvenile adjudication), the defendant must be sentenced as a second strike offender under section 667(e)(1).

The change was made to eliminate the ability of the court, with certain exceptions, to send persons to prison for 25 years to life when the new felony is not serious or violent. In the ballot argument in favor of Proposition 36, the sponsors stated: "Precious financial and law enforcement resources should not be improperly diverted to impose life sentences for some non-violent offenses. ¶ Prop. 36 will help stop clogging overcrowded prisons with non-violent offenders, so we have room to keep violent felons off the streets."

Under the new law, if the defendant is convicted of a non-serious and non-violent felony, the court must sentence the defendant as a second strike offender, irrespective of the number of his prior strikes. The sentence will be imposed in the traditional manner, taking into account all current charges and enhancements, and applicable rules regarding consecutive and concurrent sentencing of multiple counts. The court will be free to select any term from the triad for crimes punished under the Determinate Sentencing Law.

1. Sentencing of mixed counts

The initiative is not entirely clear regarding the sentencing of non-serious and non-violent new felonies when the defendant is also convicted in the current proceeding of a serious or violent felony. Nothing in the express terms of Proposition 36 limits the application of the new law in this manner. The issue is addressed in a number of appellate cases, with differing results. *People v. Johnson* (2015) 61 Cal.4th 674, appears to resolve the issue, at least in the context of a motion for resentencing under section 1170.126. *Johnson* holds that a defendant, who has one or more serious or violent convictions in a case, is not excluded from the benefits of Proposition 36 on the counts that are not serious or violent. "In sum, section 1170.126 is ambiguous as to whether a current offense that is serious or violent disqualifies an inmate from resentencing with respect to another count that is neither serious nor violent. Considering section 1170.126 in the context of the history of sentencing under the Three Strikes law and Proposition 36's

amendments to the sentencing provisions, and construing it in accordance with the legislative history, we conclude that resentencing is allowed with respect to a count that is neither serious nor violent, despite the presence of another count that is serious or violent. Because an inmate who is serving an indeterminate life term for a felony that is serious or violent will not be released on parole until the Board of Parole Hearings concludes he or she is not a threat to the public safety, resentencing with respect to another offense that is neither serious nor violent does not benefit an inmate who remains dangerous. Reducing the inmate's base term by reducing the sentence imposed for an offense that is neither serious nor violent will result only in earlier consideration for parole. If the Board of Parole Hearings determines that the inmate is not a threat to the public safety, the reduction in the base term and the resultant earlier parole date will make room for dangerous felons and save funds that would otherwise be spent incarcerating an inmate who has served a sentence that fits the crime and who is no longer dangerous." (*Johnson*, at pp. 694-695.) Nothing in *Johnson* suggests its analysis would not be equally applicable to an original sentencing proceeding for crimes committed after the effective date of Proposition 36.

Applying *Johnson*, *People v. Lynn* (2015) 242 Cal.App.4th 594, held defendant was eligible for resentencing of a third-strike conviction of grand theft person, even though he had been convicted of robbery in the same proceeding.

In accord with *Johnson* is *People v. Nettles* (2015) 240 Cal.App.4th 402, which rejected defendant's contention that the disqualifying conviction must be a strike as of the date of the underlying conviction.

C. Defendants Excluded From the New Sentencing Provisions

Even though the new felony is not a serious or violent felony, certain defendants are excluded from the new provisions and will be sentenced to at least 25 years to life as a traditional third strike offender. There are four exclusions, three of which relate to the current felony, and one of which relates to the defendant's past crimes. The prosecution *must plead and prove* the disqualifying factor. (§ 667(e)(2)(C).) The burden of proof for an exclusion from the benefits of Proposition 36 is on the People by a preponderance of the evidence. (*People v. Osuna* (2015) 225 Cal.App.4th 1020, 1040.)

1. Defendants excluded because of current felony

A defendant will be excluded from the new sentencing provisions if the new felony is any of the following:

(a) The **current felony** is a controlled substance charge, in which an allegation under Health and Safety Code section 11370.4 [possession, possession for sale, or

transportation or sale of designated substances with cocaine base or heroin, in excessive amounts] or 11379.8 [manufacturing of designated controlled substances in excessive amounts] is admitted or found true.

(b) The **current felony** is a felony sex offense defined in section 261.5(d) [unlawful sexual intercourse by a person over 21 with person under 16] or section 262 [rape of spouse], or any felony offense that results in mandatory registration as a sex offender pursuant to section 290(c,) *except* for violations of sections 266 [inveiglement or enticement of minor female for prostitution], 285 [incest], 286(b)(1) [sodomy with person under 18] and (e) [sodomy with person confined in custody facility], 288a(b)(1) [oral copulation of a person under 18] and (e) [oral copulation of a person confined in a custody facility], 311.11 [possession of child pornography], and 314 [indecent exposure].

As noted above, section 667(e)(2)(C)(ii) excludes persons required to register under section 290(c), except for specified sex crimes. In this regard it is important to observe the precise words of the exclusion: the statute will exclude a defendant from second strike sentencing if he is convicted of “any felony offense that results in *mandatory registration* as a sex offender pursuant to [section 290(c). . . .” (Emphasis added.) Section 290(c) specifies all of the listed crimes mandate registration.

People v. Hofsheier (2006) 37 Cal.4th 1185, held registration for a conviction of section 288a(b)(1), oral copulation of a person under 18, was not mandatory, but rather discretionary under section 290.006. The decision was based on a denial of equal protection – that there was no rational basis for requiring registration for consensual sexual offenses, such as section 288a(b)(1), but not for unlawful sexual intercourse. Cases following *Hofsheier* extended its holding to a number of other sexual offenses where the activity was essentially consensual between the persons involved. The Supreme Court has overruled *Hofsheier* in *Johnson v. Department of Justice* (2015) 60 Cal.4th 871, finding there is indeed a rational basis for not mandating registration for unlawful sexual intercourse, but requiring it in other non-forcible sexual offenses. The court disapproved the following cases to the extent they were inconsistent with *Johnson*: *People v. Garcia* (2008) 161 Cal.App.4th 475; *People v. Hernandez* (2008) 166 Cal.App.4th 641; *In re J.P.* (2009) 170 Cal.App.4th 1292; *People v. Ranscht* (2009) 173 Cal.App.4th 1369; *People v. Luansing* (2009) 176 Cal.App.4th 676; *People v. Thompson* (2009) 177 Cal.App.4th 1424; and *People v. Ruffin* (2011) 200 Cal.App.4th 669. (*Johnson*, at p. 888.)

The court made the holding in *Johnson* fully retroactive. (*Johnson*, at pp. 888-889.) While the full implications of retroactivity may not be entirely clear, it is likely the decision will apply to previous cases where the court did not order registration or granted a request to end the registration requirement based on *Hofsheier* or its progeny. Since the exclusion in Proposition 36 is based on a *conviction* of an

offense requiring registration, whether or not the offender was *actually* registered is immaterial. A person previously convicted of *any* offense listed in section 290(c) will be excluded from any of the benefits of Proposition 47.

The exclusion likely will not apply when registration is required as a matter of the court's discretion under section 290.006. Discretionary registration is not a circumstance listed in section 290(c).

(c) The **current felony** was committed where the defendant used a firearm, was armed with a firearm or deadly weapon, or intended to cause great bodily injury to another person. The amendment does not require that great bodily injury actually be inflicted. Proposition 36 does not expressly require the defendant to personally use a firearm or personally be armed with a firearm or deadly weapon to be disqualified. Nothing in the statutes requires these factual circumstances be charged in relationship to a specific enhancement. In other words, it does not appear necessary that a factor such as use of a firearm be charged in connection with section 12022.5. Indeed, there is no enhancement or separate penalty when the defendant commits a crime where he "intended to cause great bodily injury to another person." The only requirement is that these factual allegations be pled and proved.

People v. Caraballo (2016) ___ Cal.App.4th ___ [2016 WL 1612858], in the context of an application for resentencing under section 1170.126, holds that vicarious arming is sufficient to exclude a defendant from the resentencing provisions. In *Caraballo* the defendant and a coparticipant were involved in the commission of a burglary. During the attempt by police to arrest the defendants, the coparticipant discarded a gun. The defendant was convicted of the arming enhancement under section 12022(a) because of the possession of the gun by the coparticipant. The appellate court found the exclusion of persons who vicariously possessed a firearm during the commission of a crime is consistent with the intent of Proposition 36 to assure longer prison terms for persons who commit serious and violent offenses. Although *Caraballo* discussed arming as an exclusion from resentencing, there is nothing to suggest it would not also apply to original sentencing proceedings.

Section 12022(a) enhances the punishment for a crime if the defendant is armed with a firearm, "unless the arming is an element of that offense." No such limitation is specified by sections 667(e)(2)(C)(iii) or 1170.12(c)(2)(C)(iii). Presumably it is the intent of the enactors to impose traditional third strike sentencing whenever a firearm is used or possessed in the commission of a crime, whether or not the use or arming is an element of the crime. Accordingly, 25-year-to-life sentences may be imposed on such crimes as felon in possession of a firearm (§ 29800(a)(1)), or carrying a loaded or concealed firearm in a vehicle or in public (§§ 25400(c)(1) – (6); 25850(c)((1) – (6)).

Sections 667(e)(2)(C)(iii) or 1170.12(c)(2)(C)(iii) also require traditional third strike sentencing if “[d]uring commission of the current offense, the defendant . . . intended to cause great bodily injury to another person.” It is not clear whether the intent must be specific to the particular crime or whether it is simply the general objective of the criminal enterprise. For example, if the defendant is charged with the simple possession a destructive device (§ 18710(a)), the crime is complete without any specific intent of the defendant to injure anyone. However, it may be argued from the circumstances of the crime the defendant possessed the weapon with the intent to use it against an occupied building, thus intended to cause great bodily injury. It is not clear whether the latter circumstances are sufficient for the purposes of the exclusion under Proposition 36.

For the purposes of the exclusion, “serious bodily injury” is the same as “great bodily injury.” (*People v. Johnson* (2016) 244 Cal.App.4th 384.)

Felon in possession of a firearm

Section 29800 prohibits a felon from possessing a firearm. Whether the conviction will disqualify the inmate from the resentencing provisions of section 1170.126 will depend on whether the "possession" of the firearm was under circumstances that will constitute "arming." In *People v. White* (2014) 223 Cal.App.4th 512, the inmate was convicted of possession of a firearm by a felon. Based on a review of the probation report and the transcripts of the preliminary hearing and trial in connection with the conviction, the appellate court determined the inmate was observed by police walking toward his vehicle, carrying a rolled-up pair of sweatpants. As the officers approached, the inmate began to run, reached into the rolled-up sweatpants, then tossed the pants and an item concealed inside into the back of his truck. The concealed item was a loaded firearm. The trial court found the inmate was disqualified from resentencing under section 1170.126 because he was "armed" within the meaning of the statutory exclusion. The appellate court agreed.

White was careful to observe the distinction between arming and possession. "The California Supreme Court has explained that "[i]t is the availability—the ready access—of the weapon that constitutes arming." (*People v. Bland* (1995) 10 Cal.4th 991, 997 (*Bland*), quoting *People v. Mendival* (1992) 2 Cal.App.4th 562, 574.) ¶ 'The statutory elements of a violation of section 12021[(a)(1)] . . . are that a person, who has previously been convicted of a felony, had in his or her possession or under his or her custody or control any firearm.' (*People v. Padilla* (2002) 98 Cal.App.4th 127, 138, italics added.) ¶ Although the crime of possession of a firearm by a felon may involve the act of personally carrying or being in actual physical possession of a firearm, as occurred here, such an act is not an essential element of a violation of section 12021(a) because a conviction of this offense also

may be based on a defendant's *constructive* possession of a firearm. (See *People v. Sifuentes* (2011) 195 Cal.App.4th 1410, 1417; *People v. Mejia* (1999) 72 Cal.App.4th 1269, 1272 [defendant need not physically have the weapon on his person; constructive possession of a firearm 'is established by showing a knowing exercise of dominion and control' over it].) 'To establish constructive possession, the prosecution must prove a defendant knowingly exercised a right to control the prohibited item, either directly or through another person.' (*People v. Sifuentes*, supra, 195 Cal.App.4th at p. 1417.) ¶ Thus, while the act of being armed with a firearm—that is, having ready access to a firearm (*Bland*, supra, 10 Cal.4th at p. 997)—necessarily requires possession of the firearm, possession of a firearm does not necessarily require that the possessor be armed with it. For example, a convicted felon may be found to be a felon in possession of a firearm if he or she knowingly kept a firearm in a locked offsite storage unit even though he or she had no ready access to the firearm and, thus, was not armed with it." (*White* at p. 524; emphasis in original.)

White further held that because the appeal was from the denial of a petition for resentencing under section 1170.126, there was no duty for the prosecution to specifically "plead and prove" the disqualifier. The court observed, however, that there was a "plead and prove" requirement in the *prospective* portions of Proposition 36. "Section 667(e)(2)(C) provides in pertinent part that, '[i]f a defendant has two or more prior serious and/or violent felony convictions . . . and the current offense is not a serious or violent felony . . . , the defendant shall be sentenced' (italics added) as a second strike offender 'unless the prosecution pleads and proves' (italics added) any of the four enumerated exceptions or exclusions set forth in clauses (i) through (iv) of section 667(e)(2)(C). (See [*People v. Kaulick* (2013) 215 Cal.App.4th 1279] at p. 1293.) ¶ Section 1170.12(c)(2)(C) similarly provides that, '[i]f a defendant has two or more prior serious and/or violent felony convictions . . . and the current offense is not a [serious or violent] felony . . . , the defendant shall be sentenced' (italics added) as a second strike offender 'unless the prosecution pleads and proves' (italics added) any of the four enumerated exceptions or exclusions set forth in clauses (i) through (iv) of section 1170.12(c)(2)(C). (See *Kaulick*, supra, 215 Cal.App.4th at p. 1293.)" (*White* at p. 526; emphasis in original.)

Substantially in accord with *White* are *People v. Osuna* (2014) 225 Cal.App.4th 1020, and *People v. Brimmer* (2w014) 230 Cal.App.4th 782. "The lead case construing the language of 'armed with a firearm' and addressing the definition of arming for purposes of former section 12022 is *Bland*, supra, 10 Cal.4th 991, 43 Cal.Rptr.2d 77, 898 P.2d 391. In *Bland*, our Supreme Court, contrasting *arming* with *use* of a firearm, explained that former section 12022, which imposed an additional prison term for anyone "armed with a firearm in the commission" of a felony, applied where "the defendant has the specified weapon available for use, either offensively or defensively." (*Id.* at p. 997, 43 Cal.Rptr.2d 77, 898 P.2d 391.)

The court explained: “[T]he statutory language “in the commission of a felony” mean[s] any time during and in furtherance of the felony. Therefore ... [a] sentence enhancement for being “armed” with an assault weapon applies whenever during the commission of the underlying felony the defendant had an assault weapon available for use in the furtherance of that felony. [Citation.]’ (*Id.* at p. 1001, 43 Cal.Rptr.2d 77, 898 P.2d 391, italics omitted.) “[B]y specifying that the added penalty applies only if the defendant is armed with a firearm ‘in the commission’ of the felony offense, section 12022 implicitly requires both that the ‘arming’ take place *during* the underlying crime and that it have some “*facilitative nexus*” to that offense.’ (*Bland*, at p. 1002, 43 Cal.Rptr.2d 77, 898 P.2d 391.) ¶ The Supreme Court has subsequently reiterated *Bland*’s holding that the *arming* under section 12022 must have occurred both during the commission of the underlying crime and have a facilitative nexus to the crime. (*In re Tameka C.* (2000) 22 Cal.4th 190, 197, 91 Cal.Rptr.2d 730, 990 P.2d 603.) And, most recently, in *People v. Pitto* (2008) 43 Cal.4th 228, 74 Cal.Rptr.3d 590, 180 P.3d 338, in refusing to overrule *Bland*, the court agreed with the defendant’s contention that ‘*Bland* appears to have adopted a “facilitative nexus” test and embraced a “purpose and effect” standard.’ (*Id.* at p. 239, 74 Cal.Rptr.3d 590, 180 P.3d 338.) In other words, a defendant is armed if the gun has a facilitative nexus with the underlying offense (i.e., it *serves* some purpose in connection with it); however, this requires only that the defendant is aware during the commission of the offense of the nearby presence of a gun available for use offensively or defensively, the presence of which is not a matter of happenstance. This does not require any intent to use the gun for this purpose. (*Pitto, supra*, at pp. 239–240, 74 Cal.Rptr.3d 590, 180 P.3d 338.)” (*Brimmer*, pp. 794-795; emphasis in original.)

The requirement of a “facilitative nexus” was further discussed in *Osuna*: “Defendant . . . contends . . . that for disqualification under the [Three Strikes] Act, there must be an underlying felony to which the firearm possession is ‘tethered’ or to which it has some ‘ “ ‘facilitative nexus.’ “ ‘ He concludes one cannot be armed with a firearm during the commission of possession of the same firearm. ¶ Defendant would be correct if we were concerned with imposition of an arming *enhancement*—an additional term of imprisonment added to the base term, for which a defendant cannot be punished until and unless convicted of a related substantive offense. (*People v. Dennis* (1998) 17 Cal.4th 468, 500, 71 Cal.Rptr.2d 680, 950 P.2d 1035; see *People v. Izaguirre* (2007) 42 Cal.4th 126, 134, 64 Cal.Rptr.3d 148, 164 P.3d 578.) In *Bland, supra*, 10 Cal.4th 991, 43 Cal.Rptr.2d 77, 898 P.2d 391, the California Supreme Court construed the enhancement contained in section 12022, which imposes an additional prison term for anyone “armed with a firearm in the commission of” a felony. The court concluded that “a defendant convicted of a possessory drug offense [is] subject to this ‘arming’ enhancement when the defendant possesses both drugs and a gun, and keeps them together, but is not present when the police seize them from the defendant’s house[.]” (*Bland, supra*, at p. 995, 43 Cal.Rptr.2d 77, 898 P.2d 391.) .

. . ¶ Having a gun available does not further or aid in the commission of the crime of possession of a firearm by a felon. Thus, a defendant convicted of violating section 12021 does not, regardless of the facts of the offense, risk imposition of additional punishment pursuant to section 12022, because there is no ‘facilitative nexus’ between the arming and the possession. However, unlike section 12022, which requires that a defendant be armed ‘*in the commission of*’ a felony for additional punishment to be imposed (italics added), the Act disqualifies an inmate from eligibility for lesser punishment if he or she was armed with a firearm ‘[*d*] *uring the commission of*’ the current offense (italics added). ‘During’ is variously defined as ‘throughout the continuance or course of’ or ‘at some point in the course of.’ (Webster’s 3d New Internat. Dict. (1986) p. 703.) In other words, it requires a temporal nexus between the arming and the underlying felony, not a facilitative one. The two are not the same. (*Bland, supra*, 10 Cal.4th at p. 1002, 43 Cal.Rptr.2d 77, 898 P.2d 391 [‘ “in the commission” of’ requires both that ‘ “arming” ‘ occur during underlying crime *and* that it have facilitative nexus to offense.]’) (*Osuna*, pp. 1030-1032 ; emphasis in original.)

The element of possession of a firearm was further defined in *People v. Elder* (2014) 227 Cal.App.4th 1308, 1312: “As cross-referenced in section 1170.126, subdivision (e)(2), a commitment offense is ineligible for recall of sentence if “[*d*]uring [*its*] *ommission* ..., the defendant used a firearm, *was armed with a firearm* or deadly weapon, or intended to cause great bodily injury to another person.” (§ 667, subd. (e)(2)(C)(iii), italics added.) The parties have not suggested that we should interpret “armed” any differently in this context than its interpretation for purposes of the firearm enhancement in section 12022: A defendant is armed if the gun has a facilitative nexus with the underlying offense (i.e., it *serves* some purpose in connection with it); however, this requires only that the defendant is aware during the commission of the offense of the nearby presence of a gun *available* for use offensively or defensively, the presence of which is not a matter of happenstance. This does not require any *intent* to use the gun for this purpose. (*People v. Pitto* (2008) 43 Cal.4th 228, 239–240, 74 Cal.Rptr.3d 590, 180 P.3d 338.)” (Emphasis in original; footnote omitted.) “[A]lthough we will not hazard a definitive effort to parse the sheep from the goats (see *Cummings v. Future Nissan* (2005) 128 Cal.App.4th 321, 328), not every commitment offense for unlawful possession of a gun *necessarily* involves being armed with the gun, if the gun is not otherwise available for immediate use in connection with its possession, e.g., where it is under a defendant’s dominion and control in a location not readily accessible to him at the time of its discovery.” (*Elder*, at p. 1313; emphasis in original.)

Defendant was properly found to be armed with a firearm as part of his conviction for being a felon in possession of a gun. Although the police did not see him in actual possession of a gun, defendant was shown to have placed the gun in a trash can readily accessible to him. (*People v. White* (2016) 243 Cal.App.4th 1354.)

Consideration of facts not part of the actual conviction

In determining whether the defendant was convicted of a serious or violent felony, it is not clear whether the court may consider facts that are not part of the actual conviction. In determining the existence of a strike offense for the purposes of an original sentencing, for example, the court may consider facts from the "record of conviction," even though the facts were not reflected in the actual conviction. (*People v. Guerrero* (1988) 44 Cal.3d 343, 355.) The transcript of the trial is part of the record of conviction and may be used to prove the existence of a strike. (*People v. Bartow* (1996) 46 Cal.App.4th 1573.) The probation report is not part of the record of conviction. (*People v. Burns* (2015) 242 Cal.App.4th 1452.) In certain circumstances the transcript of a preliminary examination may be used to prove a strike. (*People v. Reed* (1996) 13 Cal.4th 217.) In denying probation or in imposing the aggravated term, a sentencing court may consider factors that are inconsistent with the verdict of the jury. (*People v. Towne* (2008) 44 Cal.4th 63, 83-89.) For example, a jury's finding that a weapon-use enhancement was not true did not prevent the judge from considering the use of a weapon for the purposes of imposing a consecutive sentence. (*People v. Lewis* (1991) 229 Cal.App.3d 259, 264-265.) It seems likely that if the entire record of conviction can be used in determining the existence of a strike for an original sentencing proceeding, the same record can be used in determining whether a person qualifies for second strike sentencing under Proposition 36.

Several cases have addressed this issue in the context of a petition for resentencing. In *People v. White* (2014) 223 Cal.App.4th 512, 524-526, the court used facts from the record of conviction to disqualify an inmate from resentencing under section 1170.126. However, the issue was more fully discussed in *People v. Manning* (2014) 226 Cal.App.4th 1133. Relying on *Guerrero*, *Reed*, *People v. Trujillo* (2006) 40 Cal.4th 165, and others, the court held that in determining a petitioner's eligibility under section 1170.126, the trial court may consider facts not directly reflected in the conviction. "As *People v. Guerrero* (1988) 44 Cal.3d 343, and its progeny demonstrate, California courts have routinely determined that prior convictions constitute serious or violent felonies by looking to '*the substance of a prior conviction, i.e., the nature and circumstances of the underlying conduct.*' (*People v. Martinez* (2000) 22 Cal.4th 106, 117, italics added; see also *People v. Gomez* (1994) 24 Cal.App.4th 22, 31, [what matters is 'the conduct of the defendant, not the specific criminal conviction'].) (*Manning*, at p. 1141; emphasis in original; see also *People v. Brimmer* (2014) 230 Cal.App.4th 782, 800-801.)

A defendant may be disqualified from relief under section 1170.126 based facts that formed the basis of an enhancement, even though the enhancement or the punishment for the enhancement was struck under section 1385. Such a sentencing decision does not change the underlying facts for the purposes of

defendant's disqualification. (*People v. Quinones* (2014) 228 Cal.App.4th 1040.) Likely *Quinones* will apply to original sentencing proceedings.

(d) Whether a defendant will be excluded because of any disqualified crime

The statute is not clear as to whether the defendant is excluded from relief as to *all* new felonies if he is excluded from relief as to *any* current crime. Nothing in sections 667(e)(2) or 1170.12(c)(2) expressly limits the application of the new law in this manner. *People v. Johnson* (2015) 61 Cal.4th 674, appears to resolve the issue, at least in the context of a motion for resentencing under section 1170.126. *Johnson* holds that a defendant, who has one or more serious or violent convictions in a case, is not excluded from the benefits of Proposition 36 on the counts that are not serious or violent. "In sum, section 1170.126 is ambiguous as to whether a current offense that is serious or violent disqualifies an inmate from resentencing with respect to another count that is neither serious nor violent. Considering section 1170.126 in the context of the history of sentencing under the Three Strikes law and Proposition 36's amendments to the sentencing provisions, and construing it in accordance with the legislative history, we conclude that resentencing is allowed with respect to a count that is neither serious nor violent, despite the presence of another count that is serious or violent. Because an inmate who is serving an indeterminate life term for a felony that is serious or violent will not be released on parole until the Board of Parole Hearings concludes he or she is not a threat to the public safety, resentencing with respect to another offense that is neither serious nor violent does not benefit an inmate who remains dangerous. Reducing the inmate's base term by reducing the sentence imposed for an offense that is neither serious nor violent will result only in earlier consideration for parole. If the Board of Parole Hearings determines that the inmate is not a threat to the public safety, the reduction in the base term and the resultant earlier parole date will make room for dangerous felons and save funds that would otherwise be spent incarcerating an inmate who has served a sentence that fits the crime and who is no longer dangerous." (*Johnson*, at pp. 694-695.) Nothing in *Johnson* suggests its analysis would not be equally applicable to an original sentencing proceeding for crimes committed after the effective date of Proposition 36.

In accord with *Johnson* is *People v. Nettles* (2015) 240 Cal.App.4th 402, which rejected defendant's contention that the disqualifying conviction must be a strike as of the date of the underlying conviction.

2. Defendants excluded because of a prior crime

Defendants who have suffered a **prior serious and/or violent felony conviction**, as defined in section 667(d), **for any of the following felonies** will be excluded from the new penalty provisions:

(a) A “sexually violent offense” as defined in Welfare and Institutions Code section 6600(b) [Sexually Violent Predator Law]: “ ‘Sexually violent offense’ means the following acts when committed by force, violence, duress, menace, fear of immediate and unlawful bodily injury on the victim or another person, or threatening to retaliate in the future against the victim or any other person, and that are committed on, before, or after the effective date of this article and result in a conviction or a finding of not guilty by reason of insanity, as defined in subdivision (a): a felony violation of Section 261, 262, 264.1, 269, 286, 288, 288a, 288.5, or 289 of the Penal Code, or any felony violation of Section 207, 209, or 220 of the Penal Code, committed with the intent to commit a violation of Section 261, 262, 264.1, 286, 288, 288a, or 289 of the Penal Code.”

Although Proposition 36 makes reference to the list of crimes in Welfare and Institutions Code section 6600(b), nothing in the initiative suggests the defendant must have been *adjudicated* as a sexually violent predator to be disqualified.

Since *attempted* forcible oral copulation is not listed in Welfare and Institutions Code, section 6600(b), conviction of that offense, in itself, will not bar defendant from relief under section 1170.126. (*People v. Jernigan* (2014) 227 Cal.App.4th 1198.) A review of the entire record of conviction, however, may disclose facts that will result in the exclusion of the defendant. (*Id.* at pp.1208-1209.) *Jernigan* likely will have application to original sentencing proceedings under the Three Strikes law.

(b) Oral copulation under section 288a, with a child who is under 14 years of age, and who is more than 10 years younger than the defendant, sodomy under section 286, with another person who is under 14 years of age and more than 10 years younger than the defendant, or sexual penetration under section 289, with another person who is under 14 years of age, and who is more than 10 years younger than the defendant.

(c) A lewd or lascivious act involving a child under 14 years of age, in violation of section 288.

(d) Any homicide offense, including any attempted homicide offense, defined in sections 187 to 191.5, inclusive. Convictions for voluntary manslaughter under section 192(a), involuntary manslaughter under section 192(b), and vehicular manslaughter under section 192(c) will not exclude the defendant from sentencing under the new procedures.

- (e) Solicitation to commit murder as defined in section 653f.
- (f) Assault with a machine gun on a peace officer or firefighter, as defined in section 245(d)(3).
- (g) Possession of a weapon of mass destruction, as defined in section 11418(a)(1).
- (h) Any serious or violent offense punishable in California by life imprisonment or death.

Persons convicted of a crime with a base term punishment of life in prison will be excluded from the benefits of Proposition 36. There is an issue, however, whether a defendant who has been convicted of a base term that does not provide a life term, but which becomes a life term by virtue of an enhancement, is considered to have been convicted of an offense punishable by life imprisonment. The answer to this issue is found in the interpretation of the phrase “serious or violent offense *punishable in California by life imprisonment.*” (Emphasis added.) The recent case of *People v. Williams* (2014) 227 Cal.App.4th 733 (*Williams*), which sets forth a helpful analysis of three California Supreme Court cases, is instructive.

The *Williams* case

Williams concerned the application of the 10-year gang enhancement under section 186.22(b)(1)(C). That section requires the addition of 10 years to any term imposed for a violent felony committed for the benefit of a street gang under section 186.22(b)(1). Section 186.22(b)(1) “states that ‘[e]xcept as provided in paragraphs 4 and 5,’ the trial court shall impose the gang enhancement. Subdivision (b)(5) provides, in relevant part: ‘[A]ny person who violates this subdivision in the commission of a felony *punishable by imprisonment in the state prison for life* shall not be paroled until a minimum of 15 calendar years have been served.’ (Italics added.) ‘This provision establishes a 15–year minimum parole eligibility period, rather than a sentence enhancement for a particular term of years.’ [Citation omitted.]” (*Williams*, at p. 740; emphasis in original.)

Williams found three Supreme Court cases relevant to the issue. “The first is *People v. Montes* (2003) 31 Cal.4th 350, 352, 2 Cal.Rptr.3d 621, 73 P.3d 489 (*Montes*). In *Montes*, the defendant was convicted of attempted murder with findings that he committed the crime for the benefit of a street gang (§ 186.22, subd. (b)(1)) and that he had personally and intentionally discharged a firearm causing great bodily injury (§ 12022.53, subd. (d)). The trial court sentenced him to the 7–year midterm for the attempted murder conviction plus a consecutive 10–year term for the gang enhancement, plus a consecutive term of 25 years to life for the firearm enhancement (§ 12022.53, subd. (d)). (*Id.* at p. 353, 2 Cal.Rptr.3d 621, 73 P.3d 489.) ¶ The issue was whether 186.22, subdivision

(b)(5)'s use of the phrase 'a felony punishable by imprisonment ... for life' applied to the defendant because his felony conviction *coupled with his firearm enhancement* resulted in a life sentence. (*Montes, supra*, 31 Cal.4th at p. 352, 2 Cal.Rptr.3d 621, 73 P.3d 489.) Based upon its analysis of legislative and voter intent, *Montes* concluded: '[S]ection 186.22(b)(5) applies only where the felony *by its own terms provides for a life sentence.*' (*Ibid.*; italics added.) *Montes* therefore found that the consecutive 10-year term for the gang enhancement had been correctly imposed because the defendant had not been convicted of 'a felony punishable by imprisonment ... for life.' (§ 186.22, subd. (b)(5).) (*Id.* at p. 353, 2 Cal.Rptr.3d 621, 73 P.3d 489.)" (*Williams*, at pp. 740-741; emphasis in original; footnote omitted.)

The second case "is *People v. Lopez* (2005) 34 Cal.4th 1002, 22 Cal.Rptr.3d 869, 103 P.3d 270 (*Lopez*). In *Lopez*, the defendant was convicted of first degree murder (§ 187). The punishment for that crime is a term of 25 years to life. (§ 190, subd. (a).) The jury also found that the defendant had committed the murder for the benefit of a street gang (§ 186.22, subd. (b)). The trial court sentenced the defendant, among other things, to 25 years to life in state prison for murder with a consecutive 10-year term for the gang enhancement. (*Id.* at p. 1005, 22 Cal.Rptr.3d 869, 103 P.3d 270.) ¶ The Supreme Court granted review in *Lopez* to decide whether a defendant convicted of first degree murder with a gang enhancement finding should be subject to a consecutive term of 10 years under section 186.22, subdivision (b)(1)(C) or, instead, the minimum parole eligibility term of 15 years set forth in section 186.22, subdivision (b)(5). ¶ The heart of the dispute was whether the phrase 'punishable by imprisonment ... for life' in section 186.22, subdivision (b)(5) meant 'all life terms (including terms of years to life)' as contended by defendant or, as urged by the Attorney General, meant "merely 'straight' life terms" so that the phrase did not include a sentence for first or second degree murder. (*Lopez, supra*, 34 Cal.4th at p. 1007, 22 Cal.Rptr.3d 869, 103 P.3d 270.) *Lopez* concluded that the statutory language 'is plain and its meaning unmistakable': 'the Legislature intended section 186.22(b)(5) to encompass both a straight life term as well as a term expressed as years to life ... and therefore intended to exempt those crimes from the 10-year enhancement in subdivision (b)(1)(C). [Citation.]' (*Id.* at pp. 1006–1007, 22 Cal.Rptr.3d 869, 103 P.3d 270.) Consequently, *Lopez* directed deletion of the 10-year sentence for the gang enhancement. (*Id.* at p. 1011, 22 Cal.Rptr.3d 869, 103 P.3d 270.)" (*Williams*, at pp. 741-742; footnote omitted.)

The third case is "[*People v. Jones* (2009)] 47 Cal.4th 566, 98 Cal.Rptr.3d 546, 213 P.3d 997. In *Jones*, the defendant was convicted of shooting at an inhabited dwelling, a crime punishable by a sentence of three, five or seven years. (§ 246.) The trial court selected the seven-year term but then imposed a life sentence pursuant to section 186.22, subdivision (b)(4) because the jury had found the defendant committed the crime to benefit a street gang. (*Id.* at p. 571, 98

Cal.Rptr.3d 546, 213 P.3d 997.) In addition, the trial court imposed a consecutive 20-year sentence because the defendant had personally and intentionally discharged a firearm in committing the offense. (§ 12022.53, subd. (c).) (*Id.* at p. 569, 98 Cal.Rptr.3d 546, 213 P.3d 997.) The sentence for that latter enhancement applies to the felonies listed in section 12022.53, subd. (a)(1–16) as well as to ‘[a]ny felony punishable by ... imprisonment ... for life.’ (§ 12022.53, subd. (a)(17).) Shooting at an inhabited dwelling is not one of the listed felonies but the trial court determined that defendant had been convicted of a felony punishable by life imprisonment because of the application of section 186.22, subdivision (b)(4).

“Section 186.22, subdivision (b)(4) provides: ‘Any person who is convicted of a felony enumerated in this paragraph committed for the benefit of, at the direction of, or in association with any criminal street gang, with the specific intent to promote, further, or assist in any criminal conduct by gang members, shall, upon conviction of that felony, be sentenced to an indeterminate term of life imprisonment ... [¶] (B) ... a felony violation of Section 246.’ ¶ On appeal, the issue was whether the trial court properly imposed the 20-year sentence enhancement (§ 12022.53) based upon its finding that the defendant had suffered a felony punishable by life. The defense contended that the phrase ‘[a]ny felony punishable by ... imprisonment ... for life’ (§ 12022.53, subd. (a)(17)) should be *narrowly construed* as it was in *Montes* to be limited to a felony which ‘by its own terms provides for a life sentence.’ (*Montes, supra*, 31 Cal.4th at p. 352, 2 Cal.Rptr.3d 621, 73 P.3d 489.) In particular, the defendant urged that his life term could not trigger application of section 12022.53, subdivision (c)’s additional 20-year prison term ‘because his sentence of life imprisonment did not result from his conviction of a *felony* (shooting at an inhabited dwelling) but from the application of section 186.22(b)(4), which sets forth not a felony but a penalty.’ (*Jones, supra*, 47 Cal.4th at p. 575, 98 Cal.Rptr.3d 546, 213 P.3d 997.)” (*Williams*, at pp. 742-743; footnotes omitted; emphasis in original.)

Williams observed that *Jones* distinguished *Montes*, quoting *Jones*: “‘Thus, this court in *Montes, supra*, 31 Cal.4th 350 [2 Cal.Rptr.3d 621, 73 P.3d 489], narrowly construed the statutory phrase “a felony punishable by imprisonment ... for life,” which appears in subdivision (b)(5) of section 186.22, as applying only to crimes where the underlying felony provides for a term of life imprisonment. (*Id.* at p. 352 [2 Cal.Rptr.3d 621, 73 P.3d 489].) Defendant here argues that to be consistent with *Montes*, we should give the statutory phrase “felony punishable by ... imprisonment in the state prison for life,” which appears in subdivision (a)(17) of section 12022.53, the same narrow construction, and that, so construed, it does not include a life sentence imposed under an alternate penalty provision. *We agree with defendant that these statutory phrases should be construed similarly.* But we disagree that, construed narrowly, a felony that under section 186.22(b)(4) is punishable by life imprisonment is not a “felony punishable by ... imprisonment in the state prison for life” within the meaning of subdivision (a)(17) of section

12022.53. ¶ ‘Unlike the life sentence of the defendant in *Montes, supra*, 31 Cal.4th 350 [2 Cal.Rptr.3d 621, 73 P.3d 489], which was imposed as a *sentence enhancement* (a punishment added to the base term), here defendant's life sentence was imposed under section 186.22(b)(4), which sets forth the *penalty for the underlying felony* under specified conditions. The difference between the two is subtle but significant. “Unlike an enhancement, which provides for an *additional term* of imprisonment, [a penalty provision] sets forth an alternate *penalty for the underlying felony itself*, when the jury has determined that the defendant has satisfied the conditions specified in the statute.” [Citation.] Here, defendant committed the felony of shooting at an inhabited dwelling (§ 246), he personally and intentionally discharged a firearm in the commission of that felony (§ 12022.53(c)), and because the felony was committed to benefit a criminal street gang, it was punishable by life imprisonment (§ 186.22(b)(4)). Thus, imposition of the 20–year sentence enhancement of section 12022.53(c) was proper.’ (*Jones, supra*, 47 Cal.4th at pp. 577–578, 98 Cal.Rptr.3d 546, 213 P.3d 997, some italics added.)” (*Williams*, at p. 743; emphasis in original; footnote omitted.)

In concluding the trial court erred in imposing the 10-year gang enhancement, *Williams* observed: “In this case, defendant received sentences of 25 years to life. These sentences of 25 years to life constitute life sentences within the meaning of section 186.22, subdivision (b)(5). (*Lopez, supra*, 34 Cal.4th at p. 1007, 22 Cal.Rptr.3d 869, 103 P.3d 270.) These life sentences resulted from the application of the Three Strikes law. The Three Strikes law is a penalty provision, not an enhancement. It is not an enhancement because it does not add an additional term of imprisonment to the base term. Instead, it provides for an alternate sentence (25 years to life) when it is proven that the defendant has suffered at least two prior serious felony convictions. (See, e.g., *People v. Superior Court (Romero)* (1996) 13 Cal.4th 497, 527, 53 Cal.Rptr.2d 789, 917 P.2d 628 [‘The Three Strikes law ... articulates an alternative sentencing scheme for the current offense rather than an enhancement.’].)” (*Williams*, at p. 744.)

Application of *Montes, Lopez, Jones* and *Williams* to Proposition 36

Application of *Montes, Lopez, Jones*, and *Williams* to the Proposition 36 exclusion under section 667(e)(2)(C)(iv)(h) must be guided by the intent of the enactors in creating the restriction. It is clear the enactors specifically intended to exclude dangerous and violent offenders from any of the benefits of the initiative. “Prop. 36 will assure that violent repeat offenders are punished and not released early.” (Argument in Favor of Proposition 36, Voter Information Guide, p. 52.) “The Three Strikes law will continue to punish dangerous career criminals who commit serious violent crimes – keeping them off the streets for 25 years to life.” (*Id.*) “Prosecutors, judges and police officers support Prop. 36 because Prop. 36 helps ensure that prisons can keep dangerous criminals behind bars for life. Prop. 36 will keep dangerous criminals off the streets.” (*Id.*) “Criminal justice experts and

law enforcement leaders carefully crafted Prop. 36 so that truly dangerous criminals will receive no benefits whatsoever from the reform. Repeat criminals will get life in prison for serious or violent third strike crimes.” (*Id.*) “Prop. 36 requires that murders, rapists, child molesters, and other dangerous criminal *serve their full sentences.*” (Rebuttal to Argument Against Proposition 36, Voter Information Guide, p. 53; emphasis in original.) The initiative provides that “[t]his act is an exercise of the public power of the people of the State of California for the protection of the health, safety, and welfare of the people of the State of California, and shall be liberally construed to effectuate those purposes.” (§ 7, Proposition 36.)

Taking into consideration the intent of the enactors that the provisions of Proposition 36 be liberally construed to exclude dangerous and violent offenders from any of its benefits, it seems consistent that courts should consider the effect of enhancements in determining whether a particular person is excluded as having suffered an offense punishable by a life sentence.

Although *Montes* holds enhancements may not be considered for the purposes of the sentencing exception under section 186.22(b)(5) of the STEP act, the case is distinguishable from the issue presented by Proposition 36. *Montes* did not permit the use of life-term enhancements for the purpose of prohibiting the 10-year gang enhancement because to do so would conflict with the intent of the voters. Based on the language of the STEP act, the court concluded there was an intent to exclude the gang enhancement only when the crime itself specified a life term. (*Montes*, at pp. 358-359.) As further evidence of the voter’s intent, the Supreme Court in *Montes* observed that the exception under section 186.22(b)(4) expressly included consideration of any enhancement, but under section 186.22(b)(5) it did not – the omission was intentional and indicative of the intent of the voters not to consider enhancements for that purpose. (*Montes*, at pp. 360-361.) No such intent appears in the language of Proposition 47 – indeed, the initiative indicates exactly the opposite intent in its stated desire to deny its benefits to dangerous and violent offenders. Nothing in the initiative or in logic indicates that the enactors would want courts to exclude offenders who were convicted of crimes with stand-alone life terms, but not exclude offenders who got life terms because of an enhancement – these are all dangerous and violent persons.

People v. Thomas (1999) 21 Cal.4th 1122 (Thomas), is inapplicable

Also distinguishable is a line of cases where courts have interpreted similar life-term language in the context of credit limitations under section 2933.1. That section limits conduct credits for persons sent to prison for *violent* offenses to 15 percent. Section 667.5(c)(7) includes as a violent offense “[a]ny felony punishable by death or life imprisonment.” In rejecting the argument that the limitation

applies to all third strike offenders because of the Three Strikes law, *People v. Thomas* (1999) 21 Cal.4th 1122, 1130, held that “sections 2933.1 and 667.5(c)(7) limit a defendant's presentence conduct credit to a maximum of 15 percent only when the defendant's current conviction is itself punishable by life imprisonment, not when it is so punishable solely due to his status as a recidivist.” In accord are *People v. Henson* (1997) 57 Cal.App.4th 1380, and *People v. Philpot* (2004) 122 Cal.App.4th 893, 907-908.

As observed in *Thomas*: “[S]ection 1192.7, subdivision (c)(7) (section 1192.7(c)(7)), includes as a “serious” felony, ‘[a]ny felony punishable by death or imprisonment in the state prison for life.’ (Italics added.) As can be seen, this language parallels the language at issue in section 667.5(c)(7). If we were to interpret section 667.5(c)(7) to mean a third strike defendant falls within its purview because of his life sentence, not because of the underlying offense, a similar interpretation would necessarily obtain for section 1192.7(c)(7). ‘Under the three strikes law, a trial court must sentence a defendant with two or more qualifying prior felony convictions or strikes to an indeterminate term of life imprisonment.’ (*People v. Dotson* (1997) 16 Cal.4th 547, 552.) A third strike would by definition, therefore, always qualify as a serious or violent offense. ¶ The plain language of the three strikes law and our cases interpreting it compel the opposite result. In *People v. Dotson, supra*, 16 Cal.4th 547, for example, this court observed that ‘the defendant's current felony need not be “serious” for the three strikes law to apply,’ and distinguished between ‘a recidivist who committed a serious third strike felony’ and one ‘who committed a nonserious third strike felony.’ (*Id.* at p. 555, original italics; [‘It is certainly appropriate to punish more harshly those’ ‘three strikes defendants’ “convicted of new serious felonies” ‘ than those whose most recent felony is not serious.].) Were the Attorney General's interpretation of section 667.5(c)(7) correct, this distinction would be nonsensical. ¶ Indeed, as noted in *Henson*, if every third strike qualified as a serious felony, virtually every third strike defendant would receive not only a life sentence but also a five-year enhancement under section 667, subdivision (a) (section 667(a)). (*People v. Henson, supra*, 57 Cal.App.4th at p. 1388.) This section ‘imposes a five-year enhancement for each current conviction for a “serious” felony if the defendant previously has been convicted of a “serious” felony. If a third strike were automatically considered a “serious” felony by virtue of the fact it carries a life sentence, the five-year enhancement would be imposed in every third strike case involving a prior serious felony conviction regardless of what offense constituted the third strike.’ (*Ibid.*, fn. omitted.) We have held otherwise. (*People v. Superior Court (Romero)* (1996) 13 Cal.4th 497, 529 [‘The five-year enhancements mandated by section 667, subdivision (a), ... apply only when the defendant's current offense is a “serious felony” within the meaning of section 1192.7, subdivision (c), while the sentences mandated by the Three Strikes law apply whether or not the current felony is “serious.” ‘]; *People v. Dotson, supra*, 16 Cal.4th at p. 555 [under section 667(a), ‘the current felony offense must be

“serious” within the meaning of section 1192.7, subdivision (c), for the five-year enhancement to apply’].) ¶ Given this limitation of section 667(a) five-year enhancements to recidivists whose current offenses are serious, it is equally appropriate to limit sections 2933.1 and 667.5(c)(7) to defendants whose current offenses, in and of themselves, and without reference to the punishment accorded under the three strikes law, are violent. (*People v. Henson, supra*, 57 Cal.App.4th at p. 1389.)” (*Thomas*, at pp. 1128-1129.)

The circumstances as discussed in *Thomas* are manifestly different than those contemplated by Proposition 36. The proposition does not involve consideration of whether a current non-violent offense becomes a statutorily defined violent offense under 667.5(c)(7) by using the Three Strikes law, such that virtually every third strike defendant would receive not only a life sentence but also a five-year enhancement under section 667. The *Thomas* line of cases is thus inapplicable to interpreting the initiative.

The defendant’s disqualification is based on a prior “conviction” of a designated crime. While the prosecution is required to plead and prove the prior crime as a disqualifier, there is no requirement that there be a pleading and proof of the prior crime as a “strike.” (§ 667(e)(2)(C).) It is the fact of the conviction of a particular crime that is relevant, not whether the prior conviction also was used as a strike under the Three Strikes law.

Sections 667(e)(2)(C)(iv) and 1170.12(c)(2)(C)(iv) specify the defendant will remain eligible for the traditional third strike sentence of at least 25-years to life if he “suffered a prior conviction, as defined in subdivision (b) of this section, for any of the following *serious and/or violent felonies*.” (Emphasis added.) The statutes then detail the specific prior crimes that will make him ineligible for the new sentencing scheme, and include solicitation to commit murder (§ 653f) and possession of a weapon of mass destruction (§ 11418(a)(1)), neither one of which are defined as a “serious or violent felony.” It is reasonable to assume the introductory requirement of the prior crime being a serious or violent felony has no effect on the use of either sections 653f and 11418 as a disqualifier. Rather, the inclusion of the two statutes simply reflects the enactors’ intent to also disqualify these persons from the benefits of Proposition 36.

Out-of-state convictions and juvenile adjudications

Section 667(e)(2)(C)(iv) excludes a defendant who has “suffered a prior serious/and or violent *felony conviction*, as defined in subdivision (d) of this section, for any of the following felonies” -- the “super strikes. The reference to “subdivision (d) of this section” obviously means section 667(d). Section 667(d) provides that “[n]otwithstanding any other law and for the purposes of

subdivisions (b) to (i), inclusive, a prior *conviction of a serious and/or violent felony* shall be defined as” (1) an adult California conviction under sections 667.5(c) and 1192.7(c) [§ 667(d)(1)]; (2) an out-of-state conviction “for an offense that, if committed in California is punishable by imprisonment in the state prison . . . if the prior conviction in the other jurisdiction is for an offense that includes all of the elements of” a California serious or violent felony [§ 667(d)(2)]; and (3) designated juvenile adjudications [§ 667(d)(3)].

Since the definition of “conviction of a serious and/or violent felony” contained in section 667(d) is incorporated by reference in section 667(e)(2)(C)(iv), and since that definition specifically includes designated juvenile adjudications, it appears that a person who has been adjudicated for an offense listed in section 667(d)(3) will be excluded from the benefits of Proposition 36. While juvenile “adjudications” and adult “convictions” are distinguished in many other contexts, for the purposes of the exclusion under section 667(e)(2)(C)(iv), they are treated the same. Section 667(d)(3) provides that “[a] prior juvenile adjudication shall constitute a *prior serious and/or violent felony conviction* for purposes of sentence enhancement if:

(A) The juvenile was 16 years of age or older at the time he or she committed the prior offense.

(B) The prior offense is listed in subdivision (b) of Section 707 of the Welfare and Institutions Code or described in paragraph (1) or (2) as a serious and/or violent felony.

(C) The juvenile was found to be a fit and proper subject to be dealt with under the juvenile court law.

(D) The juvenile was adjudged a ward of the juvenile court within the meaning of Section 602 of the Welfare and Institutions Code because the person committed an offense listed in subdivision (b) of Section 707 of the Welfare and Institutions Code.”

People v. Arias (2015) 240 Cal.App.4th 161, holds that a qualified juvenile adjudication will constitute a disqualifying prior conviction for the purposes of Proposition 36. The provisions of Welfare and Institutions Code, section 203, which specify that juvenile adjudications are precluded from being considered “convictions” “for any purpose,” have no application to the Three Strikes law and Proposition 36. Generally in accord with *Arias* is *People v. Thurston* (2016) 243 Cal.App.4th 1311.

3. No exclusion for dangerousness

As will be discussed in Section IV, *infra*, regarding a defendant's ability to apply for resentencing as a second strike offender, section 1170.126(f) permits the court to deny a request for resentencing if to do so would "pose an unreasonable risk of danger to public safety." **No such provision exists for the initial sentencing of third strike offenders under sections 667(e)(2) or 1170.12(c)(2).** If the new felony is a non-serious and non-violent crime, and the defendant is not otherwise excluded from the new sentencing provisions, the court must sentence the crime as a second strike offense.

4. Second strike offenders

Except for the possible effect of an amendment to sections 1170.12(a)(7) and (8) regarding consecutive sentencing (discussed in Section III(C), *infra*), Proposition 36 makes no changes in the way defendants with one prior strike ("second strike" offenders) are sentenced. These offenders will be sentenced in the traditional manner under the Three Strikes law, even if they receive a life sentence because the underlying offense is sentenced under the Indeterminate Sentencing Law. As more fully discussed in Section IV(A), *infra*, second strike offenders also have no ability to petition for reconsideration of their sentence.

III. AMENDMENT OF OTHER SENTENCING PROVISIONS

A. Amendment of Sections 1170.12(a)(7) and (8) Regarding Consecutive Sentencing

Most of the changes made by Proposition 36 to section 667 were also made to section 1170.12. There are two other changes, however, that are not the same. These changes relate to how the court must deal with consecutive sentencing of multiple charges under the Three Strikes law, whether it is a second or a third strike sentence.

Proposition 36 amends sections 1170.12(a)(7) and (8), in context with subdivision (6), as follows:

(6) If there is a current conviction for more than one felony count not committed on the same occasion, and not arising from the same set of operative facts, the court shall sentence the defendant consecutively on each count pursuant to this section.

~~(7) If there is a current conviction for more than one serious or violent felony as described in paragraph (6) of this subdivision (b), the court shall impose the sentence for each conviction consecutive to the sentence for any other conviction for which the defendant may be consecutively sentenced in the manner prescribed by law.~~

~~(8) Any sentence imposed pursuant to this section will be imposed consecutive to any other sentence which the defendant is already serving, unless otherwise provided by law.~~

1. Amendment to section 1170.12(a)(7)

Subdivision (6) mandates consecutive sentencing of multiple felony counts *of any type* in the same case, if the crimes were neither committed on the same occasion nor arose from the same set of operative facts.

Subdivision (7) relates to sentencing of multiple *serious or violent* felony counts in the same case. Originally subdivision (7) cross-referenced subdivision (6). The Supreme Court has read subdivisions (6) and (7) together to mean that multiple serious or violent felonies must be sentenced consecutively only if they were not committed on the same occasion or out of the same set of operative facts. (*People v. Hendrix* (1997) 16 Cal.4th 508, 513.) Section 1170.12(a)(7) has now been amended to delete the reference to subdivision (a)(6); it now refers to subdivision (b) - the portion of the statute defining which crimes are strikes.

The amendment to section 1170.12(a)(7) appears to abrogate *Hendrix* as to serious and violent crimes. The change eliminates the requirement that multiple serious or violent crimes be sentenced consecutively only if not committed on the same occasion or out of the same set of operative facts. The change now requires the court to sentence multiple current serious or violent felonies consecutively, *whether or not* they occurred on the same occasion or out of the same set of operative facts.

Left unchanged by Proposition 36 is the requirement in subdivision (7) that the sentence for multiple current serious or violent felonies shall be "consecutive to the sentence for any other conviction for which the defendant may be consecutively sentenced in the manner prescribed by law." The change is also consistent with the provisions of section 1170.12(c)(2)(B): "The indeterminate term described in subparagraph (A) of paragraph (2) of this subdivision shall be served consecutive to any other term of imprisonment for which a consecutive term may be imposed by law. Any other term imposed subsequent to any indeterminate term described in subparagraph (A) of paragraph (2) of this subdivision shall not be merged therein but shall commence at the time the

person would otherwise have been released from prison.” The language of sections 1170.12(a)(7) and (c)(2)(B) is sufficiently broad to require sentencing of the current serious or violent felonies consecutively to any sentence the defendant already is serving.

But the amendment must also be considered against the fact that section 667(c), containing the same original statutory rule, was not amended. (See discussion in Section II(c)(3), *infra*.)

2. Deletion of section 1170.12(a)(8)

Proposition 36 deletes section 1170.12(a)(8) which had required *any* sentence imposed under the Three Strikes law on a new felony be served consecutively to any other term the defendant was then serving, unless otherwise provided by law. The intent of the amendment is not clear, nor is its effect on the ability of the court to impose a concurrent sentence. On one hand, the deletion of subdivision (8) appears to allow courts to impose a *second strike* sentence on a new felony concurrently to any other term the defendant is serving unless consecutive sentencing (a) is required by subdivision (7), or (b) required by some other provision of law. If the current crime is being sentenced as a third strike offense, the term must be imposed consecutively to any existing term by reason of the requirements of section 1170.12(c)(2)(B).

On the other hand, a term already being served may be considered a “current conviction” for the purposes of subdivision (6) which mandates consecutive sentencing for multiple current convictions for crimes not committed on the same occasion or out of the same operative facts. Certainly if the court imposes a sentence consecutive to the term already being served, both cases must be “resentenced” as a single case under the requirements of California Rules of Court, Rule 4.452.

The intent of the amendment becomes further confused because section 667(c)(8), containing the same language, was not deleted. (See discussion in Section II(c)(3), *infra*.)

3. Interpretation of conflicting code sections

The intent of the changes to sections 1170.12(a)(7) and (8) becomes unclear because Proposition 36 did not make corresponding changes to section 667(c). Section 667(c), which contains the original sentencing rules for strike offenders, states:

(6) If there is a current conviction for more than one felony count not committed on the same occasion, and not arising from the same set of

operative facts, the court shall sentence the defendant consecutively on each count pursuant to subdivision (e).

(7) If there is a current conviction for more than one serious or violent felony as described in paragraph (6), the court shall impose the sentence for each conviction consecutive to the sentence for any other conviction for which the defendant may be consecutively sentenced in the manner prescribed by law.

(8) Any sentence imposed pursuant to subdivision (e) will be imposed consecutive to any other sentence which the defendant is already serving, unless otherwise provided by law.

Those provisions were not modified by Proposition 36.

There appears no clear legislative direction for dealing with the direct conflict between sections 667(c) and 1170.12(a). There is no discernible reason for amending one statute but not the other. The problem likely stems from a simple drafting error in failing to amend sections 667(c)(7) and (8) to conform to sections 1170.12(a)(7) and (8).

People v. Garcia (1999) 21 Cal.4th 1, 5-6, outlines the role of the court in resolving these kinds of conflicts where it appears the conflict results from drafting error: “The parties’ briefs, lower court opinions and our own research have disclosed a number of possible resolutions of this postulated internal conflict, all based on the premise the distinction between paragraphs (B) and (D) of section 667, subdivision (d)(3) is a result of ‘drafting error.’ As we demonstrate later, however, each such resolution would require the court to disregard one of the two assertedly conflicting paragraphs or to rewrite some of their provisions. Although we may properly decide upon such a construction or reformation when compelled by necessity and supported by firm evidence of the drafters’ true intent (see, e.g., *People v. Skinner* (1985) 39 Cal.3d 765, 775), we should not do so when the statute is reasonably susceptible to an interpretation that harmonizes all its parts without disregarding or altering any of them. ‘It is fundamental that legislation should be construed so as to harmonize its various elements without doing violence to its language or spirit.’ (*Wells v. Marina City Properties, Inc.* (1981) 29 Cal.3d 781, 788.)”

It does not seem reasonably possible to harmonize the two sets of code sections since they deal with the same subject matter in different ways. The intent of the initiative is to maintain a system of lengthy prison terms for the truly dangerous and violent offenders. (See, e.g., the argument in favor of Proposition 36: “Prop. 36 will help stop clogging overcrowded prisons with non-violent offenders, so we have room to keep violent offenders off the streets.” “Criminal justice experts and

law enforcement leaders carefully crafted Prop. 36 so that the truly dangerous criminals will receive no benefits whatsoever from the reform.”) The amended section 1170.12(a)(7), which requires all multiple serious or violent offenses to be sentenced consecutively, is consistent with this intent. The repeal of section 1170.12(a)(8) gives the sentencing judge the discretion to run non-serious and non-violent new felonies concurrently with other sentences being served. Such an interpretation also is consistent with the intent to reduce sentences for people who are not dangerous or violent offenders. Thus, looking to legislative intent may result in a determination that the amendment to sections 1170.12(a)(7) and (8) should override the different wording in sections 667(c)(7) and (8).

Prosecutors may be tempted to charge new crimes under the version of the statutes that will create the longest mandatory sentence for a particular offender. However, to make a selection between two conflicting statutes to obtain a different sentence for persons in the same situation might result in a violation of the Equal Protection Clause.

Interesting, the correction of the apparent drafting error likely can be accomplished by the Legislature. The original version of section 1170.12 was enacted by Proposition 184 in 1994. As such, it can only be amended by the Legislature by a super-majority vote or by a vote of the electorate. Proposition 36 accomplished that amendment. But section 667 was enacted by the Legislature; its provisions can be changed by a simple majority vote.

4. Statutes otherwise mandating consecutive sentencing

Aside from the provisions of the Three Strikes law, there are a number of statutes that require consecutive sentencing for multiple counts. Section 4501.1, the crime of battery by gassing, for example, provides in relevant part, “(a) ... Every state prison inmate convicted of a felony under this section shall serve his or her term of imprisonment as prescribed in section 4501.5.” Under section 4501.5, “Every person confined in a state prison of this state who commits a battery upon the person of any individual who is not himself a person confined therein shall be guilty of a felony and shall be imprisoned in the state prison for two, three, or four years, to be served consecutively.” Other examples include sections 667.6(d) [violent sex crimes], 4532 [escape], 12022.1 [crime committed on bail or O.R.], and 1170.1(c) [crimes committed in prison].

If particular counts must be sentenced consecutively, the provisions of the Three Strikes permitting concurrent sentencing of certain crimes committed “on the same occasion” or “out of the same operative facts” do not override the mandatory requirements. (See § 1170.12(a)(6).) As observed in *People v. Hojnowski* (2014) 228 Cal.App.4th 794, 800: “Section 667, subdivision (c)(6) does not give a trial court the discretion to impose concurrent terms when consecutive

sentences would otherwise be mandatory. It increases the punishment for certain recidivist offenders by making consecutive sentences mandatory in Three Strikes cases when the defendant was convicted of more than one offense *not* committed on the same occasion or arising out of the same operative facts. Our Supreme Court has construed this language to mean ‘ “consecutive sentences are not mandatory [under the Three Strikes law] if the multiple current felony convictions are ‘committed on the same occasion’ or ‘aris[e] from the same set of operative facts.’ ” ’ (*People v. Deloza* (1998) 18 Cal.4th 585, 591, 76 Cal.Rptr.2d 255, 957 P.2d 945 (*Deloza*); see *People v. Hendrix* (1997) 16 Cal.4th 508, 512–513, 66 Cal.Rptr.2d 431, 941 P.2d 64 (*Hendrix*).) But in those cases, a concurrent term was not otherwise barred by statute and the only basis for arguing a consecutive term was mandatory was the Three Strikes law itself. (*Deloza, supra*, 18 Cal.4th at p. 589, 76 Cal.Rptr.2d 255, 957 P.2d 945 [multiple robbery counts]; *Hendrix, supra*, 16 Cal.4th at p. 512, 66 Cal.Rptr.2d 431, 941 P.2d 64 [robbery and attempted robbery counts].) Section 667, subdivision (c)(6) does not permit concurrent sentences when a different provision of the Penal Code requires consecutive sentences.”

5. Summary of rules regarding consecutive sentencing

Based on the foregoing discussion of the changes made by Proposition 36, the rules regarding consecutive sentencing for crimes sentenced under the Three Strikes law may be summarized as follows:

- (a) Multiple *second strike* counts, same case, non-serious and non-violent (§ 1170.12(a)(6))
 - If the current crimes occurred on the same occasion or out of the same operative facts, they may be sentenced concurrently.
 - If the current crimes did not occur on same occasion or out of the same operative facts, they must be sentenced consecutively.
- (b) Multiple *second strike* serious and/or violent felonies counts, same case (§ 1170.12(a)(7))
 - If there are multiple serious and/or violent felonies, they must be sentenced consecutively, whether or not the crimes occurred on the same occasion or out of the same operative facts.
 - The statute requires at least two serious and/or violent felony counts to trigger mandatory consecutive sentencing. If there is only one serious and/or violent felony, it may be sentenced concurrently if as to the other counts, the crime arose out of the same occasion or out of the same operative facts. If the crime did not arise out of the same occasion or the

same operative facts, then it must be sentenced consecutively pursuant to section 1170.12(a)(6).

(c) Multiple *third strike* counts (§ 1170.12(c)(2)(B))

- Multiple crimes sentenced as a third strike offense must be consecutively sentenced, whether or not the crimes occurred on the same occasion or out of the same operative facts.

(d) Terms already being served

- If the current felony is a non-serious and non-violent *second strike* crime, it is unclear whether the court may sentence the crime concurrently with any other term being served. With the elimination of section 1170.12(a)(8), there is no express statutory provision mandating consecutive sentencing in such a situation, but the circumstances may come within the provisions of section 1170.12(a)(6).

- If the current felony is *one* serious and/or violent *second strike* felony, it is unclear whether the court may sentence the crime concurrently with any other term being served. With the elimination of section 1170.12(a)(8), there is no express statutory provision mandating consecutive sentencing in such a situation, but the circumstances may come within the provisions of section 1170.12(a)(6). If there are *multiple* serious and/or violent felonies being sentenced, however, section 1170.12(a)(7) would require the sentences to be “consecutive to the sentence for any other conviction for which the defendant may be consecutively sentenced in the manner prescribed by law.” The requirement is broad enough to include other terms being served.

- If the current felony is being sentenced as a *third strike* offense, the sentence must be imposed consecutively to any other term being served. (§ 1170.12(c)(2)(B).)

(e) Crimes mandating consecutive sentencing

If multiple counts must be sentenced consecutively for reasons other than the Three Strikes law, such provisions override section 1170.12(a)(6) permitting concurrent sentencing if the crimes were committed “on the same occasion” or “out of the same operative facts.” (*People v. Hojnowski* (2014) 228 Cal.App.4th 794.)

(f) Effective date of changes made to mandatory consecutive sentencing

- The changes to section 1170.12(a)(7), mandating consecutive sentencing for multiple serious or violent felony convictions, will be effective only as to crimes committed on or after November 7, 2012. Since the mandatory provisions remove any of the court's discretion to sentence concurrently, the punishment is increased for crimes sentenced under this circumstance. To impose the statutory change on crimes committed prior to the effective date, therefore, would violate the *ex post facto* clause.

B. Other Amendments

1. Dismissal of strikes by the court

Section 667(f)(2) originally provided the prosecution had the authority to move for the dismissal of a strike in the interests of justice under section 1385 or if there is insufficient evidence to prove the prior conviction. Proposition 36 amends section 667(f)(2) to add that nothing "[i]n this section shall be read to alter a court's authority under Section 1385." Presumably the change was made to assure that section 667(f)(2) could not be interpreted in such a manner that limited the court's ability to dismiss strikes independently of a request by the prosecution.

2. Date of interpretation

Proposition 36 amends **Section 667(h)** to provide that "[a]ll references to existing statutes in subdivisions (c) to (g), inclusive, are to statutes as they existed on November 7, 2012."

Similarly, **section 667.1** is amended to provide that "[n]otwithstanding subdivision (h) of Section 667, for all offenses committed on or after November 7, 2012, all references to existing statutes in subdivisions (c) to (g), inclusive, of Section 667, are to those statutes as they existed on November 7, 2012."

Finally, **section 1170.125** is amended to specify that "[n]otwithstanding Section 2 of Proposition 184, as adopted at the November 8, 1994, General Election, for all offenses committed on or after November 7, 2012, all references to existing statutes in Sections 1170.12 and 1170.126 are to those sections as they existed on November 7, 2012."

The amendment of sections 667.1 and 1170.125 potentially affect the application of Proposition 36 to persons sentenced in an original proceeding under sections 667(b) – (j) and 1170.12, and persons requesting resentencing under section 1170.126.

Persons sentenced in an original proceeding

The amendments to sections 667(h), 667.1, and 1170.125 clearly provide that for offenses committed on or after November 7, 2012, statutory references will be to the statutes as they existed on November 7, 2012. For crimes committed prior to November 7, 2012, however, the applicable law will be determined by the date of the offense. Such an interpretation date is necessary to avoid any ex post factor concerns created by the periodic amendment to sections 667.5 and 1192.7 to add more crimes to the list of serious and violent felonies.

If the current crime was committed prior to March 8, 2000, strike offenses will be defined by statutes as they existed on June 30, 1993. If the current crime occurred on or after March 8, 2000, but before September 20, 2006, the existence of strikes will be governed by statutes as they existed on March 8, 2000. If the current crime occurred on or after September 20, 2006, but before November 7, 2012, the existence of strikes will be governed by statutes as they existed on September 20, 2006. If the current crime occurred on or after November 7, 2012, the existence of the strikes will be governed by the statutes as they existed on November 7, 2012.

Persons requesting resentencing under section 1170.126

The intent of the amendment to section 1170.125 with the respect to the eligibility for resentencing is not entirely clear. As noted above, section 1170.125 is amended to provide that “for all offenses committed on or after November 7, 2012, all references to existing statutes in Sections 1170.12 and 1170.126 are to those sections as they existed on November 7, 2012.” On its face, the amendment with respect to section 1170.126 makes no sense – section 1170.126 only applies to crimes committed *prior to* November 7, 2012: “The resentencing provisions under this section and related statutes are intended to apply exclusively to persons presently serving an indeterminate term of imprisonment pursuant to [the Three Strikes law], whose sentence under this act would not have been an indeterminate life sentence.” (§ 1170.126(a).)

Likely the intent of the amendment to section 1170.125, when viewed against the opening paragraph to section 1170.126(a), is to limit the ability to request resentencing to those persons who would be eligible for a lower sentence *had the crime been committed on or after November 7, 2012*. One of the prerequisites to obtaining a resentencing is that the offense which resulted in the life sentence is not itself a serious or violent felony. Sections 667.5(c) and 1192.7(c) defining violent and serious felonies, for the most part, have remained substantially the same since the enactment of the Three Strikes law in 1994. From time to time, however, the lists have been augmented to include new offenses. For example, Proposition 21, enacted March 7, 2000, added section 422, making criminal threats, to the list of serious felonies in section 1192.7(c)(38). It is of no benefit to a defendant sentenced to a 25-life term for a violation of section 422 prior to 2000

that the crime was not then listed as a serious felony. Based on the objective intent of the amendment to section 1170.125 and the opening paragraph of section 1170.126(a), eligibility for resentencing must be based on the interpretation of statutes as they exist on or after November 7, 2012. In the case of a person convicted of a violation of section 422 prior to March 7, 2000, he or she would not be eligible for resentencing because section 1192.7(c)(38), as it read on November 7, 2012, lists section 422 as a serious felony.

IV. PETITION FOR RESENTENCING

The second major part of Proposition 36 is the enactment of section 1170.126, which will give many inmates now serving a third strike sentence an opportunity to request resentencing as a second strike offender if their "sentence under [Proposition 36] would not have been an indeterminate life sentence." (§ 1170.126(a).) Viewed at its basic level, the process involves the inmate petitioning the court for the requested relief and, where found appropriate, the holding of a hearing to determine whether the inmate qualifies for resentencing.

The resentencing procedure is available to any inmate who comes within its terms, whether or not his case was final as of November 7, 2011. (*People v. Yearwood* (2013) 213 Cal.App.4th 161.)

Proposition 36 has no application to persons committed to the state hospital system because of a finding they were not guilty by reason of insanity. "By its terms, section 1170.126 applies exclusively to certain 'persons presently serving an indeterminate term of imprisonment....' (§ 1170.126, subd. (a), italics added.) Dobson is not presently serving any term of imprisonment whatsoever; he has been committed to a state hospital as an NGI committee. He falls outside the scope of section 1170.126's plain language." (*People v. Dobson* (2016) 245 Cal.App.4th 310, 315; emphasis in original.)

The process under section 1170.126 contemplates four distinct phases: (1) the filing of a petition for relief under section 1170.126; (2) an initial screening of the petition to determine whether the inmate meets the minimum statutory requirements for relief; (3) if a *prima facie* basis for relief has been shown, a qualification hearing to determine whether the inmate has met all of the statutory requirements for relief and, if so, whether the resentencing of the inmate will pose an unreasonable risk of danger to public safety; and (4) the order of the court on the issue of resentencing.

A. The Petition

Inmates who are serving an indeterminate life sentence as a third strike offender as a result of a "conviction, whether by trial or plea, of a felony or felonies that are not defined as serious and/or violent" by sections 667.5(c) or 1192.7(c) "may file a petition for a recall of sentence, within two years after the effective date of " Proposition 36, "or later upon

a showing of good cause. . . ." (§ 1170.126(b).) Inmates serving a second strike sentence are expressly ineligible to request relief. (§ 1170.126(c).) Second strike offenders are not entitled to relief even if serving a life sentence because the crime was sentenced under the Indeterminate Sentencing Law.

The petition, filed with the court that imposed the third strike sentence, must include the following information: (§ 1170.126(d))

- A request for resentencing as a second strike offender.
- All of the charged felonies which resulted in a third strike sentence.
- All of the prior strikes alleged and proved under section 667(d) and 1170.12(b).

For a discussion of the right to counsel in the preparation of the petition, see the discussion in Section IV(F), *infra*.

A proposed form of petition is in Appendix D.

B. Initial Screening of the Petition

An inmate states a *prima facie* basis for resentencing as a second strike offender if (1) he is currently serving a third strike life term for a non-serious and non-violent felony, (2) the current felony is not an excluded offense, and (3) the inmate is not otherwise excluded because of a prior conviction. To state a *prima facie* basis for relief, the inmate must show that *each* of the requirements are satisfied. (§ 1170.126(e).)

1. Service of a life term

To be entitled to relief, the inmate must be serving an indeterminate term as a third strike offender for "conviction of a felony or felonies that are not defined as serious and/or violent felonies by" sections 667.5(c) or 1192.7(c). In other words, he must show that the current felony which resulted in the 25 year-to-life sentence is not a serious or violent felony.

Section 1170.126 is not entirely clear regarding the eligibility of inmates who are serving 25 year-to-life sentences for multiple felonies, where the current felonies are a mix of serious or violent crimes and non-serious and non-violent crimes. Stated differently, the issue is whether an inmate who is serving an indeterminate term for *any* serious or violent felony is then disqualified from requesting relief as to all other felonies. Section 1170.126(e)(1) states an inmate is eligible for relief if, among other things, he "is serving an indeterminate term of life imprisonment imposed pursuant to [section 667(e)(2)] or [section 1170.12(c)] for a conviction of a felony or felonies that are not defined as serious and/or violent felonies by [section 667.5(c)] or [section 1192.7(c)]." Clearly the inmate will not be permitted

to apply for resentencing of a serious or violent felony. Nothing in section 1170.126, however, suggests the inmate would be prohibited from requesting relief for the other non-serious and non-violent crimes. Section 1170.126(e)(1) is not limited in any way to exclude inmates who are serving life terms for serious or violent felonies and other life terms for non-serious or non-violent felonies. Such an interpretation is consistent with the intent of Proposition 36 to eliminate indeterminate sentences for non-serious and non-violent crimes. However, such an interpretation may be inconsistent with the intent of the initiative to maintain long sentences for people who have committed serious or violent offenses.

2. Excluded felonies

The inmate must show the current sentence was not imposed for any of the offenses listed in section 667(e)(2)(C)(i) - (iii), or section 1170.12(c)(2)(C)(i) - (iii). In other words, if the inmate's current felony which resulted in the 25 year-to-life term was for any of previously listed exclusions from the new sentencing provisions (discussed in Section II(C), *supra*), the inmate is not entitled to resentencing, even if the current felony is not a serious or violent offense. To reiterate, the inmate will not be entitled to relief if:

(a) The **current felony** is a controlled substance charge, in which an allegation under Health and Safety Code section 11370.4 [possession, possession for sale, transportation or sale of designated substances with cocaine base or heroin in excessive quantities] or 11379.8 [manufacturing of designated controlled substances in excessive quantities] is admitted or found true.

(b) The **current felony** is a felony sex offense, defined in section 261.5(d) [unlawful sexual intercourse by a person over 21 with person under 16] or Section 262 [rape of spouse], or any felony offense that results in mandatory registration as a sex offender pursuant to section 290(c) *except for* violations of sections 266 [inveiglement or enticement of minor female for prostitution], 285 incest, 286(b)(1) [sodomy with person under 18] and (e) [sodomy with person confined in custody facility], 288a(b)(1) [oral copulation of a person under 18] and (e) [oral copulation of a person confined in a custody facility], 311.11 [possession of child pornography], and 314 [indecent exposure].

As noted above, section 1170.126(e)(2)(C)(ii) excludes persons required to register under section 290(c), except for specified sex crimes. In this regard it is important to observe the precise words of the exclusion: the statute will exclude defendants convicted of "any felony offense that results in *mandatory registration* as a sex offender pursuant to [section 290(c). . . ." (Emphasis added.) Section 290(c) specifies all of the listed crimes mandate registration.

People v. Hofsheier (2006) 37 Cal.4th 1185, held registration for a conviction of section 288a(b)(1), oral copulation of a person under 18, was not mandatory, but

rather discretionary under section 290.006. The decision was based on a denial of equal protection – that there was no rational basis for requiring registration for consensual sexual offenses, such as section 288a(b)(1), but not for unlawful sexual intercourse. Cases following *Hofsheier* extended its holding to a number of other sexual offenses where the activity was essentially consensual between the persons involved. The Supreme Court has overruled *Hofsheier* in *Johnson v. Department of Justice* (2015) 60 Cal.4th 871, finding there is indeed a rational basis for not mandating registration for unlawful sexual intercourse, but requiring it in other non-forcible sexual offenses. The court disapproved the following cases to the extent they were inconsistent with *Johnson*: *People v. Garcia* (2008) 161 Cal.App.4th 475; *People v. Hernandez* (2008) 166 Cal.App.4th 641; *In re J.P.* (2009) 170 Cal.App.4th 1292; *People v. Ranscht* (2009) 173 Cal.App.4th 1369; *People v. Luansing* (2009) 176 Cal.App.4th 676; *People v. Thompson* (2009) 177 Cal.App.4th 1424; and *People v. Ruffin* (2011) 200 Cal.App.4th 669. (*Johnson*, at p. 888.)

The court made the holding in *Johnson* fully retroactive. (*Johnson*, at pp. 888-889.) While the full implications of retroactivity may not be entirely clear, it is likely the decision will apply to previous cases where the court did not order registration or granted a request to end the registration requirement based on *Hofsheier* or its progeny. Since the exclusion in Proposition 36 is based on a *conviction* of an offense requiring registration, whether or not the offender was *actually* registered is immaterial. A person previously convicted of *any* offense listed in section 290(c) will be excluded from any of the benefits of Proposition 47.

The exclusion likely will not apply when registration is required as a matter of the court's discretion under section 290.006. Discretionary registration is not a circumstance listed in section 290(c).

(c) The **current felony** was committed where the inmate used a firearm, was armed with a firearm or deadly weapon, or intended to cause great bodily injury to another person. The amendment does not require that great bodily injury actually be inflicted. Proposition 36 does not expressly require the inmate to personally use a firearm or personally be armed with a firearm or deadly weapon to be disqualified.

People v. Caraballo (2016) ___ Cal.App.4th ___ [2016 WL 1612858], in the context of an application for resentencing under section 1170.126, holds that vicarious arming is sufficient to exclude a defendant from the resentencing provisions. In *Caraballo* the defendant and a coparticipant were involved in the commission of a burglary. During the attempt by police to arrest the defendants, the coparticipant discarded a gun. The defendant was convicted of the arming enhancement under section 12022(a) because of the possession of the gun by the coparticipant. The appellate court found the exclusion of persons who vicariously possessed a firearm during the commission of a crime is consistent with the intent

of Proposition 36 to assure longer prison terms for persons who commit serious and violent offenses.

It has been argued that the exclusion based on section 1170.126(e)(2) can only occur if the defendant was actually sentenced on the disqualifying factor. In other words, for the inmate to be disqualified based on a current crime where the inmate used a firearm, the inmate must have been convicted of an enhancement such as section 12022.5. The argument is misplaced. The act merely specifies that to qualify for resentencing, the "inmate's current sentence was not imposed for any of the offenses appearing in clauses (i) to (iii), inclusive," of sections 667(e)(2)(C) or 1170.12(c)(2)(C). Nothing requires a sentence to be imposed for a specific disqualifying factor; indeed, there is no crime or special penalty for committing a crime with the intent to cause great bodily injury.

For the purposes of the exclusion, "serious bodily injury" is the same as "great bodily injury." (*People v. Johnson* (2016) 244 Cal.App.4th 384.)

Consideration of facts not part of the actual conviction

In determining whether the defendant was convicted of a serious or violent felony, the court may consider anything in the record of conviction. Several cases have addressed this issue in the context of a petition for resentencing. In *People v. White* (2014) 223 Cal.App.4th 512, 524-526, the court used facts from the record of conviction to disqualify inmate from resentencing under section 1170.126. However, the issue was more fully discussed in *People v. Manning* (2014) 226 Cal.App.4th 1133. Relying on *Guerrero, Reed, People v. Trujillo* (2006) 40 Cal.4th 165, and others, the court held that in determining a petitioner's eligibility under section 1170.126, the trial court may consider facts not directly reflected in the conviction. "As *People v. Guerrero* (1988) 44 Cal.3d 343, and its progeny demonstrate, California courts have routinely determined that prior convictions constitute serious or violent felonies by looking to 'the substance of a prior conviction, i.e., the nature and circumstances of the underlying conduct.' (*People v. Martinez* (2000) 22 Cal.4th 106, 117, italics added; see also *People v. Gomez* (1994) 24 Cal.App.4th 22, 31, [what matters is 'the conduct of the defendant, not the specific criminal conviction'].) (*Manning*, at p. 1141; emphasis in original; in accord, *People v. Blakely* (2014) 225 Cal.App.4th 1042, 1063.)

The court should identify on the record what is considered in granting or denying the petition. "[W]hen making its ultimate ruling on [the qualification of the defendant for relief under section 1170.126], the trial court must specify the records it relied on and its reasons for concluding defendant's prior offenses were or were not disqualifying." (*Manning*, p. 1144.)

The trial court may consider the facts of a prior conviction as summarized by an appellate court in determining whether the prior crime was committed in such a manner as to exclude the defendant from any relief under section 1170.126. (*People v. Elder* (2014) 227 Cal.App.4th 1308, 1316-1317; *People v. Guilford* (2014) 228 Cal.App.4th 651; *People v. Brimmer* (2014) 230 Cal.App.4th 782, 800-801; *People v. Hicks* (2014) 231 Cal.App.4th 275.)

In *People v. Bradford* (2014) 227 Cal.App.4th 1322, the court held that disqualification from resentencing may be based on facts determined by a review of the entire record of conviction, but only the record of conviction. “We conclude the statutory language and framework of Proposition 36 contemplate a determination of a petitioner's eligibility for resentencing based on the record of conviction, as in the line of cases including [*People v. Guerrero* (1988) 44 Cal.3d 343,] and [*People v. Woodell* 1998) 17 Cal.4th 448]. The statutory language we have previously identified requires the trial court to consider the nature of a petitioner's prior conviction. Specifically, the court must consider whether, during the commission of an offense that has been previously adjudicated at the time of the resentencing proceedings, “the defendant used a firearm, was armed with a firearm or deadly weapon, or intended to cause great bodily injury to another person.” (§§ 667, subd. (e)(2)(C)(iii), 1170.12, subd. (c)(2)(C)(iii).) The current resentencing statute is necessarily retrospective, like proceedings to establish proof of a prior conviction as an enhancement, in that the eligibility determination based on the “current” conviction at issue is based on the previously adjudicated crime. Given the similarities in the two determinations, we conclude the trial court should be guided by *Guerrero* and its progeny and should consider the record of conviction to decide whether petitioner is eligible for resentencing. ¶ Regarding eligibility, the current statute contains no procedure permitting the trial court to consider new evidence outside of the record of conviction, and we decline to imply such a procedure. To do so would impose a cumbersome two-step process in which the trial court would be required to consider new evidence at two stages of the proceedings. Had the drafters of Proposition 36 intended the trial court to consider newly offered ‘evidence’ at the eligibility stage, they would have included express language of the type they did to describe the nature of the court's later, discretionary sentencing determination. (See [*People v. Tilbury* (1991) 54 Cal.3d 56,] 61.) Further, as indicated in *Guerrero* itself, consideration that is limited to the record of conviction promotes the efficient administration of justice while preventing relitigation of the circumstances of a crime committed years ago, which could potentially implicate other constitutional concerns. (See *Guerrero, supra*, 44 Cal.3d at p. 355.) Consideration of evidence outside the record of conviction at a resentencing proceeding under Proposition 36 would likewise present significant challenges for convictions that date back nearly 20 years, as witnesses and evidence available at the time the case was adjudicated may no longer be available.” (*Bradford*, at pp. 1338-1339.)

The right of the petitioner to participate in the initial screening of a petition brought under section 1170.126 also is discussed in *People v. Oehmigen* (2014) 232 Cal.App.4th 1, 6-8: “[Section 1170.126] accords [a petitioner] the right to a *resentencing hearing* only upon a showing that he is *eligible*. It is not a right to a hearing on the issue of eligibility, followed by the hearing on whether he would present a risk of danger to the public if resentenced. . . . ¶ [E]ligibility is *not* a question of fact that requires the resolution of disputed issues. The *facts* are limited to the record of conviction underlying a defendant’s commitment offense; the statute neither contemplates an evidentiary hearing to establish these facts, nor any other procedure for receiving new evidence beyond the record of conviction. (*People v. Bradford* (2014) 227 Cal.App.4th 1322, 1337, 1339 (*Bradford*)).) What the trial court decides is a question of *law*: whether the facts in the record of conviction are the proper subject of consideration, and whether they establish eligibility. Therefore, this is not analogous to a hearing on a petition for habeas corpus. ¶ Finally, due process does not command a *hearing* on the threshold criteria that establish entitlement to resentencing. In a context more analogous than a petition for habeas corpus, it does not violate the due process rights of parties in a dependency proceeding for a juvenile court to refuse to hold *any* hearing on a motion for modification (Welf. & Inst. Code, § 388) unless there are allegations adequate to establish a prima facie showing of the necessary criteria of changed circumstances and benefit to the minor; nor is the court obliged to hold an *evidentiary* hearing even upon a prima facie showing, as opposed to entertaining argument as to whether the allegations establish the right to relief. (*In re Hunter W.* (2011) 200 Cal.App.4th 1454, 1463 [right of due process compels hearing only after prima facie showing of changed circumstances]; *In re E.S.* (2011) 196 Cal.App.4th 1329, 1339-1340 [due process does not require evidentiary hearing on motion]; *In re Heather P.* (1989) 209 Cal.App.3d 886, 891 [leaving to court the determination of prima facie showing does not violate due process].) [Footnote omitted.] ¶ Similar to the limited reach of due process in the context of modification petitions, we recently held that the parties to a section 1170.126 proceeding are entitled to a limited “additional procedural protection[]” of their right under due process to be heard (*Bradford, supra*, 227 Cal.App.4th at p. 1337.) The petitioner has a right to provide ‘input’ in the form of briefing ‘if the petitioner has not addressed the issue [of eligibility in the petition] and the matter of eligibility concerns facts that were not actually adjudicated at the time of the petitioner’s original conviction (as here)’; the People also have the right to submit a brief in response if the trial court sets a hearing on dangerousness (indicating that it made a preliminary determination of eligibility) in order to highlight facts in the record they assert establish ineligibility. (*Bradford, supra*, 227 Cal.App.4th at pp. 1340, 1341.)” (Emphasis in original.)

Proof of disqualification

The courts are divided on the issue of the current burden of proof of a factor that disqualifies a person from the benefits of Proposition 36. *People v. Osuna* (2014) 225 Cal.App.4th 1020, 1040, concludes the burden is by preponderance of the evidence. *People v. Arevalo* (2016) 244 Cal.App.4th 836, holds disqualifiers must be proved beyond a reasonable doubt.

In *Arevalo*, defendant was found guilty grand theft auto and the unlawful driving or taking of a vehicle. The trial court found him not guilty of the crime of possession of a firearm by a felon and found the arming allegation not true. He received a third strike sentence. His petition for resentencing was denied by the trial court based on a finding, by a preponderance of the evidence, the defendant was armed at the time he committed the underlying crimes. The appellate court reversed. The court held the proper standard of proof of a disqualifier is beyond a reasonable doubt. The trial court's decision in the underlying case precludes a finding of ineligibility based on a disqualifier. The case was remanded on the issue of dangerousness.

The probation report is not part of the record of conviction. (*People v. Burns* (2015) 242 Cal.App.4th 1452.) On the other hand, the transcript of a preliminary hearing is part of the record of conviction. (*People v. Estrada* (2015) 243 Cal.App.4th 336;

A defendant may be disqualified from relief under section 1170.126 based facts that formed the basis of an enhancement, even though the enhancement or the punishment for the enhancement was struck under section 1385. Such a sentencing decision does not change the underlying facts for the purposes of defendant's disqualification. (*People v. Quinones* (2014) 228 Cal.App.4th 1040.) It is not necessary that the defendant be actually sentenced on any disqualifying factor to be disqualified from the ability to obtain resentencing. (*People v. Hicks* (2014) 231 Cal.App.4th 275.)

Felon in possession of a firearm

Section 29800 prohibits a felon from possessing a firearm. Whether the conviction will disqualify the inmate from the resentencing provisions of section 1170.126 will depend on whether the "possession" of the firearm was under circumstances that will constitute "arming." In *People v. White* (2014) 223 Cal.App.4th 512, the inmate was convicted of possession of a firearm by a felon. Based on a review of the probation report and the transcripts of the preliminary hearing and trial in connection with the conviction, the appellate court determined the inmate was observed by police walking toward his vehicle, carrying a rolled-up pair of sweatpants. As the officers approached, the inmate began to run, reached into the rolled-up sweatpants, then tossed the pants and an item concealed inside into the back of his truck. The concealed item was a loaded firearm. The trial court

found the inmate was disqualified from resentencing under section 1170.126 because he was "armed" within the meaning of the statutory exclusion. The appellate court agreed.

Based on a review of the record of conviction, the appellate court found the inmate was "armed" for the purposes of the exclusion. "Here, the record of conviction establishes that the applicable resentencing eligibility criterion set forth in section 1170.126(e)(2) is not satisfied, and, thus, White is ineligible for resentencing relief under the Reform Act. Specifically, the record of conviction establishes that White's life sentence was imposed because he was in physical possession of a firearm when the police officers approached him, and, thus, he was armed with a firearm during the commission of his current offense." (*Id.* at p. 524.)

White was careful to observe the distinction between arming and possession. "The California Supreme Court has explained that "[i]t is the availability – the ready access – of the weapon that constitutes arming." (*People v. Bland* (1995) 10 Cal.4th 991, 997 (*Bland*), quoting *People v. Mendival* (1992) 2 Cal.App.4th 562, 574.) ¶ 'The statutory elements of a violation of section 12021[(a)(1)] . . . are that a person, who has previously been convicted of a felony, had in his or her possession or under his or her custody or control any firearm.' (*People v. Padilla* (2002) 98 Cal.App.4th 127, 138, italics added.) ¶ Although the crime of possession of a firearm by a felon may involve the act of personally carrying or being in actual physical possession of a firearm, as occurred here, such an act is not an essential element of a violation of section 12021(a) because a conviction of this offense also may be based on a defendant's constructive possession of a firearm. (See *People v. Sifuentes* (2011) 195 Cal.App.4th 1410, 1417; *People v. Mejia* (1999) 72 Cal.App.4th 1269, 1272 [defendant need not physically have the weapon on his person; constructive possession of a firearm 'is established by showing a knowing exercise of dominion and control' over it].) 'To establish constructive possession, the prosecution must prove a defendant knowingly exercised a right to control the prohibited item, either directly or through another person.' (*People v. Sifuentes*, supra, 195 Cal.App.4th at p. 1417.) ¶ Thus, while the act of being armed with a firearm – that is, having ready access to a firearm (*Bland*, supra, 10 Cal.4th at p. 997)–necessarily requires possession of the firearm, possession of a firearm does not necessarily require that the possessor be armed with it. For example, a convicted felon may be found to be a felon in possession of a firearm if he or she knowingly kept a firearm in a locked offsite storage unit even though he or she had no ready access to the firearm and, thus, was not armed with it." (*White* at p. 524; emphasis in original.)

White determined it was unnecessary for there to be a specific allegation in the prior proceeding that the inmate was armed. "Although the information did not allege that White was armed with a firearm when he committed that offense, and

it contained no sentence enhancement allegation that he was armed with a firearm, the record shows the prosecution's case was based on evidence that White not only possessed the firearm, but also that he was armed with the firearm during his commission of the current offense. Specifically, the record of conviction establishes that White not only had a firearm "in [his] possession or under [his] custody or control"; he also was personally armed with the firearm on that date because he was carrying – and, thus, had "ready access" (*Bland, supra*, 10 Cal.4th at p. 997) to – that firearm. The trial evidence shows the police officers conducting a surveillance of White's residence saw White walking towards his pickup truck and carrying a rolled-up cloth (sweatpants) with an object inside. The officers believed White might be armed, and when they moved towards him and drew their guns, White began to run, reached inside the rolled-up sweatpants he was carrying, and soon thereafter threw both the sweatpants and the object inside the sweatpants into the bed of his truck. The officers arrested White and found that the object he had thrown into the truck bed was a loaded .357-magnum revolver." (*White* at p. 525.) "In sum, the record shows the prosecution's case was not based on the theory that White was guilty of possession of a firearm by a felon because he had constructive possession of the firearm; it was based on the theory that he was guilty of that offense because he had actual physical possession of the firearm. Although White was not explicitly charged with being armed during the commission of his current offense, and he was convicted only of being a felon in possession of a firearm in violation of section 12021(a), the foregoing record amply supports a finding under section 1170.126(e)(2) that his life sentence was imposed because he was in fact armed with a firearm during his commission of his current section 12021(a) offense within the meaning of the armed-with-a-firearm exclusion." (*White* at pp. 525-526.)

White expressly rejected any "plead and prove" requirement for the disqualifier from the resentencing provisions of section 1170.126 – it determined such a requirement is limited to the *prospective* aspects of Proposition 36 for new convictions. (*Id.* at pp. 526-527.) "We hold that, where the record establishes that a defendant convicted under the pre-Proposition 36 version of the Three Strikes law as a third strike offender of possession of a firearm by a felon was armed with the firearm during the commission of that offense, the armed-with-a-firearm exclusion applies and, thus, the defendant is not entitled to resentencing relief under the Reform Act. We also hold that, in such a case, a trial court may deny section 1170.126 resentencing relief under the armed-with-a-firearm exclusion even if the accusatory pleading, under which the defendant was charged and convicted of possession of a firearm by a felon, did not allege he or she was armed with a firearm during the commission of that possession offense." (*Id.* at p. 527.)

Substantially in accord with *White* are *People v. Osuna* (2014) 225 Cal.App.4th 1020, *People v. Brimmer* (2014) 230 Cal.App.4th 782, *People v. Hicks* (2014) 231 Cal.App.4th 275, and *People v. Blakely* (2014) 225 Cal.App.4th 1042, 1051-1054

[mere possession of a firearm by a felon will not exclude him from Proposition 36 unless the felon is “armed” – it was available for offensive or defensive purposes.]. “The lead case construing the language of ‘armed with a firearm’ and addressing the definition of arming for purposes of former section 12022 is *Bland, supra*, 10 Cal.4th 991, 43 Cal.Rptr.2d 77, 898 P.2d 391. In *Bland*, our Supreme Court, contrasting *arming* with *use* of a firearm, explained that former section 12022, which imposed an additional prison term for anyone “armed with a firearm in the commission” of a felony, applied where “the defendant has the specified weapon available for use, either offensively or defensively.” (*Id.* at p. 997, 43 Cal.Rptr.2d 77, 898 P.2d 391.) The court explained: “[T]he statutory language “in the commission of a felony” mean[s] any time during and in furtherance of the felony. Therefore ... [a] sentence enhancement for being “armed” with an assault weapon applies whenever during the commission of the underlying felony the defendant had an assault weapon available for use in the furtherance of that felony. [Citation.]’ (*Id.* at p. 1001, 43 Cal.Rptr.2d 77, 898 P.2d 391, italics omitted.) ‘[B]y specifying that the added penalty applies only if the defendant is armed with a firearm ‘in the commission’ of the felony offense, section 12022 implicitly requires both that the ‘arming’ take place *during* the underlying crime and that it have some “*facilitative nexus*” to that offense.’ (*Bland*, at p. 1002, 43 Cal.Rptr.2d 77, 898 P.2d 391.) ¶ The Supreme Court has subsequently reiterated *Bland* 's holding that the *arming* under section 12022 must have occurred both during the commission of the underlying crime and have a facilitative nexus to the crime. (*In re Tameka C.* (2000) 22 Cal.4th 190, 197, 91 Cal.Rptr.2d 730, 990 P.2d 603.) And, most recently, in *People v. Pitto* (2008) 43 Cal.4th 228, 74 Cal.Rptr.3d 590, 180 P.3d 338, in refusing to overrule *Bland*, the court agreed with the defendant's contention that ‘*Bland* appears to have adopted a “facilitative nexus” test and embraced a “purpose and effect” standard.’ (*Id.* at p. 239, 74 Cal.Rptr.3d 590, 180 P.3d 338.) In other words, a defendant is armed if the gun has a facilitative nexus with the underlying offense (i.e., it *serves* some purpose in connection with it); however, this requires only that the defendant is aware during the commission of the offense of the nearby presence of a gun available for use offensively or defensively, the presence of which is not a matter of happenstance. This does not require any intent to use the gun for this purpose. (*Pitto, supra*, at pp. 239–240, 74 Cal.Rptr.3d 590, 180 P.3d 338.)” (*Brimmer*, pp. 794-795; emphasis in original.)

The requirement of a “facilitative nexus” was further discussed in *Osuna*: “Defendant . . . contends . . . that for disqualification under the [Three Strikes] Act, there must be an underlying felony to which the firearm possession is ‘tethered’ or to which it has some ‘ “ ‘facilitative nexus.’ “ ‘ He concludes one cannot be armed with a firearm during the commission of possession of the same firearm. ¶ Defendant would be correct if we were concerned with imposition of an arming *enhancement*—an additional term of imprisonment added to the base term, for which a defendant cannot be punished until and unless convicted of a related substantive offense. (*People v. Dennis* (1998) 17 Cal.4th 468, 500, 71 Cal.Rptr.2d

680, 950 P.2d 1035; see *People v. Izaguirre* (2007) 42 Cal.4th 126, 134, 64 Cal.Rptr.3d 148, 164 P.3d 578.) In *Bland, supra*, 10 Cal.4th 991, 43 Cal.Rptr.2d 77, 898 P.2d 391, the California Supreme Court construed the enhancement contained in section 12022, which imposes an additional prison term for anyone “armed with a firearm in the commission of” a felony. The court concluded that “a defendant convicted of a possessory drug offense [is] subject to this ‘arming’ enhancement when the defendant possesses both drugs and a gun, and keeps them together, but is not present when the police seize them from the defendant’s house[.]” (*Bland, supra*, at p. 995, 43 Cal.Rptr.2d 77, 898 P.2d 391.) . . . ¶ Having a gun available does not further or aid in the commission of the crime of possession of a firearm by a felon. Thus, a defendant convicted of violating section 12021 does not, regardless of the facts of the offense, risk imposition of additional punishment pursuant to section 12022, because there is no ‘facilitative nexus’ between the arming and the possession. However, unlike section 12022, which requires that a defendant be armed ‘*in the commission of*’ a felony for additional punishment to be imposed (italics added), the Act disqualifies an inmate from eligibility for lesser punishment if he or she was armed with a firearm ‘*[d] uring the commission of*’ the current offense (italics added). ‘During’ is variously defined as ‘throughout the continuance or course of’ or ‘at some point in the course of.’ (Webster’s 3d New Internat. Dict. (1986) p. 703.) In other words, it requires a temporal nexus between the arming and the underlying felony, not a facilitative one. The two are not the same. (*Bland, supra*, 10 Cal.4th at p. 1002, 43 Cal.Rptr.2d 77, 898 P.2d 391 [‘ “in the commission” of’ requires both that ‘ “arming” ‘ occur during underlying crime *and* that it have facilitative nexus to offense].)” (*Osuna*, pp. 1030-1032 ; emphasis in original.)

The element of possession of a firearm was further defined in *People v. Elder* (2014) 227 Cal.App.4th 1308, 1312: “As cross-referenced in section 1170.126, subdivision (e)(2), a commitment offense is ineligible for recall of sentence if “[d] uring [its] commission ..., the defendant used a firearm, *was armed with a firearm* or deadly weapon, or intended to cause great bodily injury to another person.” (§ 667, subd. (e)(2)(C)(iii), italics added.) The parties have not suggested that we should interpret “armed” any differently in this context than its interpretation for purposes of the firearm enhancement in section 12022: A defendant is armed if the gun has a facilitative nexus with the underlying offense (i.e., it *serves* some purpose in connection with it); however, this requires only that the defendant is aware during the commission of the offense of the nearby presence of a gun *available* for use offensively or defensively, the presence of which is not a matter of happenstance. This does not require any *intent* to use the gun for this purpose. (*People v. Pitto* (2008) 43 Cal.4th 228, 239–240, 74 Cal.Rptr.3d 590, 180 P.3d 338.)” (Emphasis in original; footnote omitted.) “[A]lthough we will not hazard a definitive effort to parse the sheep from the goats (see *Cummings v. Future Nissan* (2005) 128 Cal.App.4th 321, 328), not *every* commitment offense for unlawful possession of a gun *necessarily* involves being armed with the gun, if the gun is

not otherwise available for immediate use in connection with its possession, e.g., where it is under a defendant's dominion and control in a location not readily accessible to him at the time of its discovery.” (*Elder*, at p. 1313; emphasis in original.)

Defendant was properly found to be armed with a firearm as part of his conviction for being a felon in possession of a gun. Although the police did not see him in actual possession of a gun, defendant was shown to have placed the gun in a trash can readily accessible to him. (*People v. White* (2016) 243 Cal.App.4th 1354.)

The probation report is not part of the record of conviction. (*People v. Burns* (2015) 242 Cal.App.4th 1452.) The court erred in relying on the probation report in determining whether the defendant was armed during the commission of a crime.

Date of interpretation of statutes

Proposition 36 amended Section 1170.125 to specify that “[n]otwithstanding Section 2 of Proposition 184, as adopted at the November 8, 1994, General Election, for all offenses committed on or after November 7, 2012, all references to existing statutes in Sections 1170.12 and 1170.126 are to those sections as they existed on November 7, 2012.” *People v. Johnson* (2015) 61 Cal.4th 674, 682-688, specifies whether a crime is a serious or violent felony for the purpose of Proposition 36 is determined as of the effective date of the proposition, November 7, 2012.

The intent of the amendment to section 1170.125 with the respect to the eligibility for resentencing is not entirely clear. As noted above, section 1170.125 is amended to provide that “for all offenses committed on or after November 7, 2012, all references to existing statutes in [section] . . . 1170.126 are to those sections as they existed on November 7, 2012.” On its face, the amendment makes no sense – section 1170.126 only applies to crimes committed *prior to* November 7, 2012: “The resentencing provisions under this section and related statutes are intended to apply exclusively to persons presently serving an indeterminate term of imprisonment pursuant to [the Three Strikes law], whose sentence under this act would not have been an indeterminate life sentence.” (§ 1170.126(a).)

The intent of the amendment to section 1170.125, when viewed against the opening paragraph to section 1170.126(a), is to limit the ability to request resentencing to those persons who would be eligible for a lower sentence *had the crime been committed on or after November 7, 2012*. In determining whether the defendant has been convicted of a serious or violent felony for the purposes of determining eligibility for resentencing, the court must look to the list of serious

or violent felonies existing at the time of filing the petition for relief, not the time when the underlying crime was committed. (*People v. Galvan* (2015) 235 Cal.App.4th 1318.) For example, Proposition 21, enacted March 7, 2000, added section 422, making criminal threats, to the list of serious felonies in section 1192.7(c)(38). It is of no benefit to a defendant sentenced to a 25-life term for a violation of section 422 prior to 2000 that the crime was not then listed as a serious felony. Based on the objective intent of the amendment to section 1170.125, eligibility for resentencing is based on the interpretation of statutes as they existed on or after November 7, 2012. In the case of a person convicted of a violation of section 422 prior to March 7, 2000, he or she would not be eligible for resentencing because section 1192.7(c)(38), as it read on November 7, 2012, lists section 422 as a serious felony.

(d) Whether an inmate will be excluded because of any disqualified crime

The initiative is not entirely clear regarding the sentencing of non-serious and non-violent new felonies when the defendant is also convicted in the current proceeding of a serious or violent felony.

People v. Johnson (2015) 61 Cal.4th 674, appears to resolve the issue, at least in the context of a motion for resentencing under section 1170.126. *Johnson* holds that a defendant, who has one or more serious or violent convictions in a case, is not excluded from the benefits of Proposition 36 on the counts that are not serious or violent. “In sum, section 1170.126 is ambiguous as to whether a current offense that is serious or violent disqualifies an inmate from resentencing with respect to another count that is neither serious nor violent. Considering section 1170.126 in the context of the history of sentencing under the Three Strikes law and Proposition 36's amendments to the sentencing provisions, and construing it in accordance with the legislative history, we conclude that resentencing is allowed with respect to a count that is neither serious nor violent, despite the presence of another count that is serious or violent. Because an inmate who is serving an indeterminate life term for a felony that is serious or violent will not be released on parole until the Board of Parole Hearings concludes he or she is not a threat to the public safety, resentencing with respect to another offense that is neither serious nor violent does not benefit an inmate who remains dangerous. Reducing the inmate's base term by reducing the sentence imposed for an offense that is neither serious nor violent will result only in earlier consideration for parole. If the Board of Parole Hearings determines that the inmate is not a threat to the public safety, the reduction in the base term and the resultant earlier parole date will make room for dangerous felons and save funds that would otherwise be spent incarcerating an inmate who has served a sentence that fits the crime and who is no longer dangerous.” (*Johnson*, at pp. 694-695.)

3. Excluded inmates

To be entitled to resentencing, the inmate must show that he has no prior convictions listed in sections 667(e)(2)(C)(iv) or 1170.12(c)(2)(C)(iv): (1170.126(e)(3).)

(a) A “sexually violent offense” as defined in Welfare and Institutions Code section 6600(b) [Sexually Violent Predator Law]: “‘Sexually violent offense’ means the following acts when committed by force, violence, duress, menace, fear of immediate and unlawful bodily injury on the victim or another person, or threatening to retaliate in the future against the victim or any other person, and that are committed on, before, or after the effective date of this article and result in a conviction or a finding of not guilty by reason of insanity, as defined in subdivision (a): a felony violation of Section 261, 262, 264.1, 269, 286, 288, 288a, 288.5, or 289 of the Penal Code, or any felony violation of Section 207, 209, or 220 of the Penal Code, committed with the intent to commit a violation of Section 261, 262, 264.1, 286, 288, 288a, or 289 of the Penal Code.”

Although Proposition 36 makes reference to the list of crimes in Welfare and Institutions Code section 6600(b), nothing in the initiative suggests the inmate must have been adjudicated as a sexually violent predator to be excluded.

Since *attempted* forcible oral copulation is not listed in Welfare and Institutions Code, section 6600(b), conviction of that offense, in itself, will not bar defendant from relief under section 1170.126. (*People v. Jernigan* (2014) 227 Cal.App.4th 1198.) A review of the entire record of conviction, however, may disclose facts that will result in the exclusion of the defendant. (*Id.* at pp. 1208-1209.)

(b) Oral copulation with a child who is under 14 years of age, and who is more than 10 years younger than he or she as defined by section 288a, sodomy with another person who is under 14 years of age and more than 10 years younger than he or she as defined by section 286, or sexual penetration with another person who is under 14 years of age, and who is more than 10 years younger than he or she, as defined by section 289.

(c) A lewd or lascivious act involving a child under 14 years of age, in violation of section 288.

(d) Any homicide offense, including any attempted homicide offense, defined in sections 187 to 191.5, inclusive. Convictions for voluntary manslaughter under section 192(a), involuntary manslaughter under section 192(b), and vehicular manslaughter under section 192(c) will not exclude the inmate from eligibility for resentencing.

- (e) Solicitation to commit murder as defined in section 653f.
- (f) Assault with a machine gun on a peace officer or firefighter, as defined in section 245(d)(3).
- (g) Possession of a weapon of mass destruction, as defined in section 11418(a)(1).
- (h) Any serious or violent offense punishable in California by life imprisonment or death.

Persons convicted of a crime with a base term punishment of life in prison will be excluded from the benefits of Proposition 36. There is an issue, however, whether a defendant who has been convicted of a base term that does not provide a life term, but which becomes a life term by virtue of an enhancement, is considered to have been convicted of an offense punishable by life imprisonment. The answer to this issue is found in the interpretation of the phrase “serious or violent offense *punishable in California by life imprisonment.*” (Emphasis added.) The recent case of *People v. Williams* (2014) 227 Cal.App.4th 733 (*Williams*), which sets forth a helpful analysis of three California Supreme Court cases, is instructive.

The *Williams* case

Williams concerned the application of the 10-year gang enhancement under section 186.22(b)(1)(C). That section requires the addition of 10 years to any term imposed for a violent felony committed for the benefit of a street gang under section 186.22(b)(1). Section 186.22(b)(1) “states that ‘[e]xcept as provided in paragraphs 4 and 5,’ the trial court shall impose the gang enhancement. Subdivision (b)(5) provides, in relevant part: ‘[A]ny person who violates this subdivision in the commission of a felony *punishable by imprisonment in the state prison for life* shall not be paroled until a minimum of 15 calendar years have been served.’ (Italics added.) ‘This provision establishes a 15–year minimum parole eligibility period, rather than a sentence enhancement for a particular term of years.’ [Citation omitted.]” (*Williams*, at p. 740; emphasis in original.)

Williams found three Supreme Court cases relevant to the issue. “The first is *People v. Montes* (2003) 31 Cal.4th 350, 352, 2 Cal.Rptr.3d 621, 73 P.3d 489 (*Montes*). In *Montes*, the defendant was convicted of attempted murder with findings that he committed the crime for the benefit of a street gang (§ 186.22, subd. (b)(1)) and that he had personally and intentionally discharged a firearm causing great bodily injury (§ 12022.53, subd. (d)). The trial court sentenced him to the 7–year midterm for the attempted murder conviction plus a consecutive 10–year term for the gang enhancement, plus a consecutive term of 25 years to life for the firearm enhancement (§ 12022.53, subd. (d)). (*Id.* at p. 353, 2 Cal.Rptr.3d 621, 73 P.3d 489.) ¶ The issue was whether 186.22, subdivision

(b)(5)'s use of the phrase 'a felony punishable by imprisonment ... for life' applied to the defendant because his felony conviction *coupled with his firearm enhancement* resulted in a life sentence. (*Montes, supra*, 31 Cal.4th at p. 352, 2 Cal.Rptr.3d 621, 73 P.3d 489.) Based upon its analysis of legislative and voter intent, *Montes* concluded: '[S]ection 186.22(b)(5) applies only where the felony *by its own terms provides for a life sentence.*' (*Ibid.*; italics added.) *Montes* therefore found that the consecutive 10-year term for the gang enhancement had been correctly imposed because the defendant had not been convicted of 'a felony punishable by imprisonment ... for life.' (§ 186.22, subd. (b)(5).) (*Id.* at p. 353, 2 Cal.Rptr.3d 621, 73 P.3d 489.)" (*Williams*, at pp. 740-741; emphasis in original; footnote omitted.)

The second case "is *People v. Lopez* (2005) 34 Cal.4th 1002, 22 Cal.Rptr.3d 869, 103 P.3d 270 (*Lopez*). In *Lopez*, the defendant was convicted of first degree murder (§ 187). The punishment for that crime is a term of 25 years to life. (§ 190, subd. (a).) The jury also found that the defendant had committed the murder for the benefit of a street gang (§ 186.22, subd. (b)). The trial court sentenced the defendant, among other things, to 25 years to life in state prison for murder with a consecutive 10-year term for the gang enhancement. (*Id.* at p. 1005, 22 Cal.Rptr.3d 869, 103 P.3d 270.) ¶ The Supreme Court granted review in *Lopez* to decide whether a defendant convicted of first degree murder with a gang enhancement finding should be subject to a consecutive term of 10 years under section 186.22, subdivision (b)(1)(C) or, instead, the minimum parole eligibility term of 15 years set forth in section 186.22, subdivision (b)(5). ¶ The heart of the dispute was whether the phrase 'punishable by imprisonment ... for life' in section 186.22, subdivision (b)(5) meant 'all life terms (including terms of years to life)' as contended by defendant or, as urged by the Attorney General, meant "merely 'straight' life terms" so that the phrase did not include a sentence for first or second degree murder. (*Lopez, supra*, 34 Cal.4th at p. 1007, 22 Cal.Rptr.3d 869, 103 P.3d 270.) *Lopez* concluded that the statutory language 'is plain and its meaning unmistakable': 'the Legislature intended section 186.22(b)(5) to encompass both a straight life term as well as a term expressed as years to life ... and therefore intended to exempt those crimes from the 10-year enhancement in subdivision (b)(1)(C). [Citation.]' (*Id.* at pp. 1006–1007, 22 Cal.Rptr.3d 869, 103 P.3d 270.) Consequently, *Lopez* directed deletion of the 10-year sentence for the gang enhancement. (*Id.* at p. 1011, 22 Cal.Rptr.3d 869, 103 P.3d 270.)" (*Williams*, at pp. 741-742; footnote omitted.)

The third case is "[*People v. Jones* (2009)] 47 Cal.4th 566, 98 Cal.Rptr.3d 546, 213 P.3d 997. In *Jones*, the defendant was convicted of shooting at an inhabited dwelling, a crime punishable by a sentence of three, five or seven years. (§ 246.) The trial court selected the seven-year term but then imposed a life sentence pursuant to section 186.22, subdivision (b)(4) because the jury had found the defendant committed the crime to benefit a street gang. (*Id.* at p. 571, 98

Cal.Rptr.3d 546, 213 P.3d 997.) In addition, the trial court imposed a consecutive 20-year sentence because the defendant had personally and intentionally discharged a firearm in committing the offense. (§ 12022.53, subd. (c).) (*Id.* at p. 569, 98 Cal.Rptr.3d 546, 213 P.3d 997.) The sentence for that latter enhancement applies to the felonies listed in section 12022.53, subd. (a)(1–16) as well as to ‘[a]ny felony punishable by ... imprisonment ... for life.’ (§ 12022.53, subd. (a)(17).) Shooting at an inhabited dwelling is not one of the listed felonies but the trial court determined that defendant had been convicted of a felony punishable by life imprisonment because of the application of section 186.22, subdivision (b)(4).

“Section 186.22, subdivision (b)(4) provides: ‘Any person who is convicted of a felony enumerated in this paragraph committed for the benefit of, at the direction of, or in association with any criminal street gang, with the specific intent to promote, further, or assist in any criminal conduct by gang members, shall, upon conviction of that felony, be sentenced to an indeterminate term of life imprisonment ... [¶] (B) ... a felony violation of Section 246.’ ¶ On appeal, the issue was whether the trial court properly imposed the 20-year sentence enhancement (§ 12022.53) based upon its finding that the defendant had suffered a felony punishable by life. The defense contended that the phrase ‘[a]ny felony punishable by ... imprisonment ... for life’ (§ 12022.53, subd. (a)(17)) should be *narrowly construed* as it was in *Montes* to be limited to a felony which ‘by its own terms provides for a life sentence.’ (*Montes, supra*, 31 Cal.4th at p. 352, 2 Cal.Rptr.3d 621, 73 P.3d 489.) In particular, the defendant urged that his life term could not trigger application of section 12022.53, subdivision (c)’s additional 20-year prison term ‘because his sentence of life imprisonment did not result from his conviction of a *felony* (shooting at an inhabited dwelling) but from the application of section 186.22(b)(4), which sets forth not a felony but a penalty.’ (*Jones, supra*, 47 Cal.4th at p. 575, 98 Cal.Rptr.3d 546, 213 P.3d 997.)” (*Williams*, at pp. 742-743; footnotes omitted; emphasis in original.)

Williams observed that *Jones* distinguished *Montes*, quoting *Jones*: “‘Thus, this court in *Montes, supra*, 31 Cal.4th 350 [2 Cal.Rptr.3d 621, 73 P.3d 489], narrowly construed the statutory phrase “a felony punishable by imprisonment ... for life,” which appears in subdivision (b)(5) of section 186.22, as applying only to crimes where the underlying felony provides for a term of life imprisonment. (*Id.* at p. 352 [2 Cal.Rptr.3d 621, 73 P.3d 489].) Defendant here argues that to be consistent with *Montes*, we should give the statutory phrase “felony punishable by ... imprisonment in the state prison for life,” which appears in subdivision (a)(17) of section 12022.53, the same narrow construction, and that, so construed, it does not include a life sentence imposed under an alternate penalty provision. *We agree with defendant that these statutory phrases should be construed similarly.* But we disagree that, construed narrowly, a felony that under section 186.22(b)(4) is punishable by life imprisonment is not a “felony punishable by ... imprisonment in the state prison for life” within the meaning of subdivision (a)(17) of section

12022.53. ¶ ‘Unlike the life sentence of the defendant in *Montes, supra*, 31 Cal.4th 350 [2 Cal.Rptr.3d 621, 73 P.3d 489], which was imposed as a *sentence enhancement* (a punishment added to the base term), here defendant's life sentence was imposed under section 186.22(b)(4), which sets forth the *penalty for the underlying felony* under specified conditions. The difference between the two is subtle but significant. “Unlike an enhancement, which provides for an *additional term* of imprisonment, [a penalty provision] sets forth an alternate *penalty for the underlying felony itself*, when the jury has determined that the defendant has satisfied the conditions specified in the statute.” [Citation.] Here, defendant committed the felony of shooting at an inhabited dwelling (§ 246), he personally and intentionally discharged a firearm in the commission of that felony (§ 12022.53(c)), and because the felony was committed to benefit a criminal street gang, it was punishable by life imprisonment (§ 186.22(b)(4)). Thus, imposition of the 20–year sentence enhancement of section 12022.53(c) was proper.’ (*Jones, supra*, 47 Cal.4th at pp. 577–578, 98 Cal.Rptr.3d 546, 213 P.3d 997, some italics added.)” (*Williams*, at p. 743; emphasis in original; footnote omitted.)

In concluding the trial court erred in imposing the 10-year gang enhancement, *Williams* observed: “In this case, defendant received sentences of 25 years to life. These sentences of 25 years to life constitute life sentences within the meaning of section 186.22, subdivision (b)(5). (*Lopez, supra*, 34 Cal.4th at p. 1007, 22 Cal.Rptr.3d 869, 103 P.3d 270.) These life sentences resulted from the application of the Three Strikes law. The Three Strikes law is a penalty provision, not an enhancement. It is not an enhancement because it does not add an additional term of imprisonment to the base term. Instead, it provides for an alternate sentence (25 years to life) when it is proven that the defendant has suffered at least two prior serious felony convictions. (See, e.g., *People v. Superior Court (Romero)* (1996) 13 Cal.4th 497, 527, 53 Cal.Rptr.2d 789, 917 P.2d 628 [‘The Three Strikes law ... articulates an alternative sentencing scheme for the current offense rather than an enhancement.’].)” (*Williams*, at p. 744.)

Application of *Montes, Lopez, Jones* and *Williams* to Proposition 36

Application of *Montes, Lopez, Jones*, and *Williams* to the Proposition 36 exclusion under section 667(e)(2)(C)(iv)(h) must be guided by the intent of the enactors in creating the restriction. It is clear the enactors specifically intended to exclude dangerous and violent offenders from any of the benefits of the initiative. “Prop. 36 will assure that violent repeat offenders are punished and not released early.” (Argument in Favor of Proposition 36, Voter Information Guide, p. 52.) “The Three Strikes law will continue to punish dangerous career criminals who commit serious violent crimes – keeping them off the streets for 25 years to life.” (*Id.*) “Prosecutors, judges and police officers support Prop. 36 because Prop. 36 helps ensure that prisons can keep dangerous criminals behind bars for life. Prop. 36 will keep dangerous criminals off the streets.” (*Id.*) “Criminal justice experts and

law enforcement leaders carefully crafted Prop. 36 so that truly dangerous criminals will receive no benefits whatsoever from the reform. Repeat criminals will get life in prison for serious or violent third strike crimes.” (*Id.*) “Prop. 36 requires that murders, rapists, child molesters, and other dangerous criminal *serve their full sentences.*” (Rebuttal to Argument Against Proposition 36, Voter Information Guide, p. 53; emphasis in original.) The initiative provides that “[t]his act is an exercise of the public power of the people of the State of California for the protection of the health, safety, and welfare of the people of the State of California, and shall be liberally construed to effectuate those purposes.” (§ 7, Proposition 36.)

Taking into consideration the intent of the enactors that the provisions of Proposition 36 be liberally construed to exclude dangerous and violent offenders from any of its benefits, it seems consistent that courts should consider the effect of enhancements in determining whether a particular person is excluded as having suffered an offense punishable by a life sentence.

Although *Montes* holds enhancements may not be considered for the purposes of the sentencing exception under section 186.22(b)(5) of the STEP act, the case is distinguishable from the issue presented by Proposition 36. *Montes* did not permit the use of life-term enhancements for the purpose of prohibiting the 10-year gang enhancement because to do so would conflict with the intent of the voters. Based on the language of the STEP act, the court concluded there was an intent to exclude the gang enhancement only when the crime itself specified a life term. (*Montes*, at pp. 358-359.) As further evidence of the voter’s intent, the Supreme Court in *Montes* observed that the exception under section 186.22(b)(4) expressly included consideration of any enhancement, but under section 186.22(b)(5) it did not – the omission was intentional and indicative of the intent of the voters not to consider enhancements for that purpose. (*Montes*, at pp. 360-361.) No such intent appears in the language of Proposition 47 – indeed, the initiative indicates exactly the opposite intent in its stated desire to deny its benefits to dangerous and violent offenders. Nothing in the initiative or in logic indicates that the enactors would want courts to exclude offenders who were convicted of crimes with stand-alone life terms, but not exclude offenders who got life terms because of an enhancement – these are all dangerous and violent persons.

People v. Thomas (1999) 21 Cal.4th 1122 (Thomas), is inapplicable

Also distinguishable is a line of cases where courts have interpreted similar life-term language in the context of credit limitations under section 2933.1. That section limits conduct credits for persons sent to prison for *violent* offenses to 15 percent. Section 667.5(c)(7) includes as a violent offense “[a]ny felony punishable by death or life imprisonment.” In rejecting the argument that the limitation

applies to all third strike offenders because of the Three Strikes law, *People v. Thomas* (1999) 21 Cal.4th 1122, 1130, held that “sections 2933.1 and 667.5(c)(7) limit a defendant's presentence conduct credit to a maximum of 15 percent only when the defendant's current conviction is itself punishable by life imprisonment, not when it is so punishable solely due to his status as a recidivist.” In accord are *People v. Henson* (1997) 57 Cal.App.4th 1380, and *People v. Philpot* (2004) 122 Cal.App.4th 893, 907-908.

As observed in *Thomas*: “[S]ection 1192.7, subdivision (c)(7) (section 1192.7(c)(7)), includes as a “serious” felony, ‘[a]ny felony punishable by death or imprisonment in the state prison for life.’ (Italics added.) As can be seen, this language parallels the language at issue in section 667.5(c)(7). If we were to interpret section 667.5(c)(7) to mean a third strike defendant falls within its purview because of his life sentence, not because of the underlying offense, a similar interpretation would necessarily obtain for section 1192.7(c)(7). ‘Under the three strikes law, a trial court must sentence a defendant with two or more qualifying prior felony convictions or strikes to an indeterminate term of life imprisonment.’ (*People v. Dotson* (1997) 16 Cal.4th 547, 552.) A third strike would by definition, therefore, always qualify as a serious or violent offense. ¶ The plain language of the three strikes law and our cases interpreting it compel the opposite result. In *People v. Dotson, supra*, 16 Cal.4th 547, for example, this court observed that ‘the defendant's current felony need not be “serious” for the three strikes law to apply,’ and distinguished between ‘a recidivist who committed a serious third strike felony’ and one ‘who committed a nonserious third strike felony.’ (*Id.* at p. 555, original italics; [‘It is certainly appropriate to punish more harshly those’ ‘three strikes defendants’ “convicted of new serious felonies” ‘ than those whose most recent felony is not serious.].) Were the Attorney General's interpretation of section 667.5(c)(7) correct, this distinction would be nonsensical. ¶ Indeed, as noted in *Henson*, if every third strike qualified as a serious felony, virtually every third strike defendant would receive not only a life sentence but also a five-year enhancement under section 667, subdivision (a) (section 667(a)). (*People v. Henson, supra*, 57 Cal.App.4th at p. 1388.) This section ‘imposes a five-year enhancement for each current conviction for a “serious” felony if the defendant previously has been convicted of a “serious” felony. If a third strike were automatically considered a “serious” felony by virtue of the fact it carries a life sentence, the five-year enhancement would be imposed in every third strike case involving a prior serious felony conviction regardless of what offense constituted the third strike.’ (*Ibid.*, fn. omitted.) We have held otherwise. (*People v. Superior Court (Romero)* (1996) 13 Cal.4th 497, 529 [‘The five-year enhancements mandated by section 667, subdivision (a), ... apply only when the defendant's current offense is a “serious felony” within the meaning of section 1192.7, subdivision (c), while the sentences mandated by the Three Strikes law apply whether or not the current felony is “serious.” ‘]; *People v. Dotson, supra*, 16 Cal.4th at p. 555 [under section 667(a), ‘the current felony offense must be

“serious” within the meaning of section 1192.7, subdivision (c), for the five-year enhancement to apply’].) ¶ Given this limitation of section 667(a) five-year enhancements to recidivists whose current offenses are serious, it is equally appropriate to limit sections 2933.1 and 667.5(c)(7) to defendants whose current offenses, in and of themselves, and without reference to the punishment accorded under the three strikes law, are violent. (*People v. Henson, supra*, 57 Cal.App.4th at p. 1389.)” (*Thomas*, at pp. 1128-1129.)

The circumstances as discussed in *Thomas* are manifestly different than those contemplated by Proposition 36. The proposition does not involve consideration of whether a current non-violent offense becomes a statutorily defined violent offense under 667.5(c)(7) by using the Three Strikes law, such that virtually every third strike defendant would receive not only a life sentence but also a five-year enhancement under section 667. The *Thomas* line of cases is thus inapplicable to interpreting the initiative.

The defendant’s disqualification is based on a prior “conviction” of a designated crime. While the prosecution is required to plead and prove the prior crime as a disqualifier, there is no requirement that there be a pleading and proof of the prior crime as a “strike.” (§ 667(e)(2)(C).) It is the fact of the conviction of a particular crime that is relevant, not whether the prior conviction also was used as a strike under the Three Strikes law.

Sections 667(e)(2)(C)(iv) and 1170.12(c)(2)(C)(iv) specify the defendant will remain eligible for the traditional third strike sentence of at least 25-years to life if he “suffered a prior conviction, as defined in subdivision (b) of this section, for any of the following *serious and/or violent felonies*.” (Emphasis added.) The statutes then detail the specific prior crimes that will make him ineligible for the new sentencing scheme, and include solicitation to commit murder (§ 653f) and possession of a weapon of mass destruction (§ 11418(a)(1)), neither one of which are defined as a “serious or violent felony.” It is reasonable to assume the introductory requirement of the prior crime being a serious or violent felony has no effect on the use of either sections 653f and 11418 as a disqualifier. Rather, the inclusion of the two statutes simply reflects the enactors’ intent to also disqualify these persons from the benefits of Proposition 36.

Out-of-state convictions and juvenile adjudications

Section 667(e)(2)(C)(iv) excludes a defendant who has “suffered a prior serious/and or violent *felony conviction*, as defined in subdivision (d) of this section, for any of the following felonies” -- the “super strikes. The reference to “subdivision (d) of this section” obviously means section 667(d). Section 667(d) provides that “[n]otwithstanding any other law and for the purposes of subdivisions (b) to (i), inclusive, a prior *conviction of a serious and/or violent felony*

shall be defined as” (1) an adult California conviction under sections 667.5(c) and 1192.7(c) [§ 667(d)(1)]; (2) an out-of-state conviction “for an offense that, if committed in California is punishable by imprisonment in the state prison . . . if the prior conviction in the other jurisdiction is for an offense that includes all of the elements of” a California serious or violent felony [§ 667(d)(2)]; and (3) designated juvenile adjudications [§ 667(d)(3)].

Since the definition of “conviction of a serious and/or violent felony” contained in section 667(d) is incorporated by reference in section 667(e)(2)(C)(iv), and since that definition specifically includes designated juvenile adjudications, it appears that a person who has been adjudicated for an offense listed in section 667(d)(3) will be excluded from the benefits of Proposition 36. While juvenile “adjudications” and adult “convictions” are distinguished in many other contexts, for the purposes of the exclusion under section 667(e)(2)(C)(iv), they are treated the same. Section 667(d)(3) provides that “[a] prior juvenile adjudication shall constitute a *prior serious and/or violent felony conviction* for purposes of sentence enhancement if:

(A) The juvenile was 16 years of age or older at the time he or she committed the prior offense.

(B) The prior offense is listed in subdivision (b) of Section 707 of the Welfare and Institutions Code or described in paragraph (1) or (2) as a serious and/or violent felony.

(C) The juvenile was found to be a fit and proper subject to be dealt with under the juvenile court law.

(D) The juvenile was adjudged a ward of the juvenile court within the meaning of Section 602 of the Welfare and Institutions Code because the person committed an offense listed in subdivision (b) of Section 707 of the Welfare and Institutions Code.”

People v. Arias (2015) 240 Cal.App.4th 161, holds that a qualified juvenile adjudication will constitute a disqualifying prior conviction for the purposes of Proposition 36. The provisions of Welfare and Institutions Code, section 203, which specify that juvenile adjudications are precluded from being considered “convictions” “for any purpose,” have no application to the Three Strikes law and Proposition 36. Generally in accord with *Arias* is *People v. Thurston* (2016) 243 Cal.App.4th 1311.

Use of section 1385

Section 1385 may not be used to dismiss disqualifying prior convictions to make a defendant eligible for resentencing under section 1170.126. (*People v. Brown* (2014) 230 Cal.App.4th 1502.) “Section 1170.126 grants a trial court the power to determine an inmate's eligibility to be resentenced under the Reform Act *only if* the inmate satisfies the three criteria set out in subdivision (e) of the statute, as previously noted, and contains no provision authorizing a trial court to disregard the required criteria. (§ 1170.126, subd. (e).) Rather, the plain language of subdivision (e) clearly provides that an inmate must first satisfy each criteria set out in subdivision (e) of section 1170.126 *before* he or she can be resentenced under the Reform Act, and gives the trial court no discretion to depart from the three-step requirement. In other words, if the inmate does not satisfy one or more of the criteria, section 1170.126 grants the trial court *no power* to do anything but deny the petition for recall of sentence. ¶ . . . As the People note, the absence of discretionary authority in subdivision (e) of the statute shows the Legislature intended to withhold statutory power of a trial court to exercise its discretion in the furtherance of justice under section 1385 in determining a defendant's eligibility to be resentenced under the Reform Act. Clearly, the Legislature expressly authorized a trial court to exercise its discretion when determining whether granting relief would pose an unreasonable risk of danger to public safety as noted in section 1170.126, subdivisions (f) and (g). However, the plain language of subdivision (e) of the statute authorizes no such discretionary power to a trial court in deciding an inmate's eligibility under the Reform Act.” (*Brown*, at pp. 1511-1512; emphasis in original.)

Void resentencing

In *People v. Amaya* (2015) 239 Cal.App.4th 379, during an application for resentencing, the court was mistakenly advised by all counsel and the clerk that a gang enhancement had been previously stricken. The court considered the defendant eligible for relief and granted a resentencing in accordance with Proposition 36. It was later determined the enhancement had not been stricken. The trial court properly recalled the reduced sentence and re-imposed the original sentence. Because the defendant was ineligible for resentencing, the second judgment was “void on the record” and could be set aside at any time. (*Amaya*, at pp. 386-387.)

4. Procedure for initial screening

(a) Referral to original sentencing judge

When a petition for resentencing is received by the court, it should be filed and transmitted to the original sentencing judge for initial review. (§ 1170.126(j).) In *People v. Superior Court (Kaulick)* (2013) 215 Cal.App.4th 1279, 1300-1301, the

court of appeal made it clear that section 1170.126(b) requires that the original sentencing judge must rule on the inmate's petition unless that right is waived.

What constitutes "unavailability" of a judge is open to some interpretation. Few would argue, for example, that a retired judge is unavailable. Even this, however, may be subject to local legal culture: at least one court considers a retired judge available if he or she is in the Assigned Judges Program and is willing to hear the case. At the other extreme is *People v. Rodriguez* (2014) 231 Cal.App.4th 288, which held that a judge assigned to another division of the court by the presiding judge may be considered unavailable for the purposes of a suppression motion under section 1538.5(p).

The petition may be summarily denied without the inmate's appearance if the petition fails to include the minimum requirements specified in section 1170.126(d), if the petitioner is a second strike offender [section 1170.126(c)], or if the petitioner's current felonies or past record disqualify an inmate for resentencing under section 1170.126(e). A proposed form for this order is in Appendix E.

(b) *Prima facie* determination

The initial screening must be limited to a determination of whether the inmate has presented a *prima facie* basis for relief under sections 1170.126(d) and (e). The initial screening of the petition for resentencing is similar to the initial screening of a petition for writ of habeas corpus. California Rules of Court, Rule 4.551(f) provides that "[a]n evidentiary hearing is required if . . . there is a reasonable likelihood that the petitioner may be entitled to relief and the petitioner's entitlement to relief depends on the resolution of an issue of fact."]

To properly rule on the petition, the court should request a copy of the petitioner's criminal record from the district attorney, the probation department, or CDCR. While most initial screenings may be accomplished with a review of the inmate's record, there may be circumstances where additional facts will be required. For example, it may not be possible from a review of the record alone to determine whether the inmate committed the current felony with the intent "to cause great bodily injury to another person." So long as the record review of the petition states a *prima facie* basis for granting relief, however, the court should grant the inmate a full qualification hearing where any additional evidence could be received on the issue of eligibility.

If the court intends to summarily deny relief based on unadjudicated factors, the court should afford the defendant a meaningful opportunity to address the issue. "As has been determined, the current matter does not call upon the trial court to

consider new evidence in making its determination, which is limited to the record of conviction. Consequently, it is not essential for the court to hold a formal hearing. Considering that the record of conviction is ‘set’ when the trial court considers a petitioner's eligibility for resentencing, the petitioner would be well-advised to address eligibility concerns in the initial petition for resentencing. But if the petitioner has not addressed the issue and the matter of eligibility concerns facts that were not actually adjudicated at the time of the petitioner's original conviction . . . , the trial court should invite further briefing by the parties before finding the petitioner ineligible for resentencing.” (*People v. Bradford* (2014) 227 Cal.App.4th 1322, 1341.)

The right of the petitioner to participate in the initial screening of a petition brought under section 1170.126 is discussed in *People v. Oehmigen* (2014) 232 Cal.App.4th 1, 6-8: “[Section 1170.126] accords [a petitioner] the right to a *resentencing hearing* only upon a showing that he is *eligible*. It is not a right to a hearing on the issue of eligibility, followed by the hearing on whether he would present a risk of danger to the public if resentenced. . . . ¶ [E]ligibility is *not* a question of fact that requires the resolution of disputed issues. The *facts* are limited to the record of conviction underlying a defendant’s commitment offense; the statute neither contemplates an evidentiary hearing to establish these facts, nor any other procedure for receiving new evidence beyond the record of conviction. (*People v. Bradford* (2014) 227 Cal.App.4th 1322, 1337, 1339 (*Bradford*)).) What the trial court decides is a question of *law*: whether the facts in the record of conviction are the proper subject of consideration, and whether they establish eligibility. Therefore, this is not analogous to a hearing on a petition for habeas corpus. ¶ Finally, due process does not command a *hearing* on the threshold criteria that establish entitlement to resentencing. In a context more analogous than a petition for habeas corpus, it does not violate the due process rights of parties in a dependency proceeding for a juvenile court to refuse to hold *any* hearing on a motion for modification (Welf. & Inst. Code, § 388) unless there are allegations adequate to establish a *prima facie* showing of the necessary criteria of changed circumstances and benefit to the minor; nor is the court obliged to hold an *evidentiary* hearing even upon a *prima facie* showing, as opposed to entertaining argument as to whether the allegations establish the right to relief. (*In re Hunter W.* (2011) 200 Cal.App.4th 1454, 1463 [right of due process compels hearing only after *prima facie* showing of changed circumstances]; *In re E.S.* (2011) 196 Cal.App.4th 1329, 1339-1340 [due process does not require evidentiary hearing on motion]; *In re Heather P.* (1989) 209 Cal.App.3d 886, 891 [leaving to court the determination of *prima facie* showing does not violate due process].) [Footnote omitted.] ¶ Similar to the limited reach of due process in the context of modification petitions, we recently held that the parties to a section 1170.126 proceeding are entitled to a limited “additional procedural protection[]” of their right under due process to be heard (*Bradford, supra*, 227 Cal.App.4th at p. 1337.) The petitioner has a right to provide ‘input’ in

the form of briefing ‘if the petitioner has not addressed the issue [of eligibility in the petition] and the matter of eligibility concerns facts that were not actually adjudicated at the time of the petitioner’s original conviction (as here)’; the People also have the right to submit a brief in response if the trial court sets a hearing on dangerousness (indicating that it made a preliminary determination of eligibility) in order to highlight facts in the record they assert establish ineligibility. (*Bradford, supra*, 227 Cal.App.4th at pp. 1340, 1341.)” (Emphasis in original.)

Caution must be used in the court’s consideration of the information received from CDCR. Ex parte consideration of certain material may be contrary to sections 1203, 1204 and 1204.5. (*In re Calhoun* (1976) 17 Cal.3d 75; *In re Hancock* (1977) 67 Cal.App.3d 943.) The court may be restricted for considering such information except in the context of an actual sentencing proceeding.

If the petition survives the initial screening, the court should send a written request to the petitioner inquiring whether he wishes to waive personal attendance at the qualification and resentencing hearings. A proposed form of request is in Appendix F.

(c) No plead and proof requirement

For a defendant to be excluded from the new sentencing provisions under sections 667 and 1170.12, the circumstances of the exclusion must be pled and proven by the prosecution. (§§ 667(e)(2)(C) and 1170.12(c)(2)(C).) There is no similar express pleading and proof requirement to disqualify an inmate from the resentencing provisions of section 1170.126. (*People v. Elder* (2014) 227 Cal.App.4th 1308, 1315-1316; *People v. Bradford* (2014) 227 Cal.App.4th 1322, 1332-1333; *People v. Guilford* (2014) 228 Cal.App.4th 651; *People v. Brimmer* (2014) 230 Cal.App.4th 782, 801-803; *People v. Hicks* (2014) 231 Cal.App.4th 275; *People v. Osuna* (2014) 225 Cal.App.4th 1020, 1033; *People v. Blakely* (2014) 225 Cal.App.4th 1042, 1057-1063; *People v. Estrada* (2015) 243 Cal.App.4th 336; *People v. Chubbuck* (2014) 231 Cal.App.4th 737 [no “plead and prove” requirement regarding a showing that the defendant “intended to cause great bodily injury to another person”].) As a practical matter, however, the prosecution has the burden of proving that the defendant should be excluded from resentencing.

(d) Right to counsel

There is no right to counsel unless and until the petitioner states a *prima facie* basis for relief. (*People v. Denize* (2015) 236 Cal.App.4th 966.) For a full discussion of the right to counsel at the initial screening of the petition, see discussion in Section IV(E), *infra*.

(e) Review of summary denial

For a discussion of the review of a summary denial of a petition for resentencing, see Section IV(G), *infra*.

C. The Qualification Hearing

The qualification hearing has two components: (1) a review of the inmate's past and current convictions to determine whether he meets the statutory qualifications for resentencing, and (2), if the inmate is statutorily eligible for resentencing, whether to do so would "pose an unreasonable risk of danger to public safety."

1. The hearing officer

The petition must be heard by the judge who originally sentenced the defendant as a third strike offender. (§ 1170.126(b).) If for some reason the original judge is unavailable, the presiding judge must designate another judge to rule on the petition. The defendant may enter a waiver of the right to have the proceeding heard by the original sentencing judge, provided such a waiver is entered prior to any judicial decision on the petition. (*People v. Superior Court (Kaulick)* (2013) 215 Cal.App.4th 1279, 1300-1301.) Although *Kaulick* makes no mention of the prosecution's right to have the matter heard by the original judge, presumably both must join in the waiver to be effective.

What constitutes "unavailability" of a judge is open to some interpretation. Few would argue, for example, that a retired judge is unavailable. Even this, however, may be subject to local legal culture: at least one court considers a retired judge available if he or she is in the Assigned Judges Program and is willing to hear the case. At the other extreme is *People v. Rodriguez* (2014) 231 Cal.App.4th 288, which held that a judge assigned to another division of the court by the presiding judge may be considered unavailable for the purposes of a suppression motion under section 1538.5(p).

2. The setting of the hearing; notice; presence of petitioner

If the petition survives the initial screening procedure (discussed in Section IV(B), *supra*), the court should set the matter for a full qualification hearing. There is no time of hearing specified by section 1170.126. The hearing should be set within a "reasonable time." The inmate, the prosecution, and any victim have the right to notice of and appearance at any hearing held in connection with the qualification and resentencing procedure. (*People v. Superior Court (Kaulick)* (2013) 215 Cal.App.4th 1279; *People v. Manning* (2014) 226 Cal.App.4th 1133, 1144.)

The resentencing hearing is considered a "post-conviction release proceeding" under Article 1, section 28(b)(7) of the California Constitution (Marsy's Law). (§

1170.126(m).) As such, the victim is entitled to notice of and, if requested, participation in the qualification and resentencing proceedings. Even if the prosecution is stipulating to the resentencing, the court should assure that proper notice has been given to the victim. Section 28(e) of the California Constitution defines “victim” as “a person who suffers direct or threatened physical, psychological, or financial harm as a result of the commission or attempted commission of a crime or delinquent act. The term ‘victim’ also includes the person’s spouse, parents, children, siblings, or guardian, and includes a lawful representative of a crime victim who is deceased, a minor, or physically or psychologically incapacitated. The term ‘victim’ does not include a person in custody for an offense, the accused, or a person whom the court finds would not act in the best interests of a minor victim.”

Proposition 36 expressly provides the petitioner may waive his appearance in the court for resentencing, notwithstanding section 977(b), "provided that the accusatory pleading is not amended at the resentencing, and that no new trial or retrial of the individual will occur." (§ 1170.126(i).) The waiver must be in writing and signed by the petitioner. If necessary, the court should issue an order of production to secure the petitioner's appearance in time for the hearing.

For a discussion of the right to counsel at the qualification hearing, see discussion in Section IV(E), *infra*.

3. Qualification hearing: confirmation of eligibility

The court should first undertake a full review of the petition and the inmate's circumstances to confirm whether he satisfies the requirements of section 1170.126(e), discussed in Section IV(B), *supra*. Additional documentation or evidence may be presented by the parties which may be relevant to the determination of whether the inmate meets the minimum statutory requirements of eligibility for resentencing. If the inmate fails to show that he meets the minimum statutory requirements, the court may deny the petition without a need to determine whether resentencing would pose an unreasonable risk of danger to public safety.

The scope of evidence admissible to prove or disprove the inmate's eligibility for resentencing is not defined by the statute. It is likely the court could consider any documentary evidence that is part of the "record of conviction:" "those record documents reliably reflecting the facts of the offense for which the defendant has been convicted." (*People v. Reed* (1996) 13 Cal.4th 217, 223.) Depending on the circumstances, the record of conviction can include the abstract of judgment, the section 969b prison packet, the charging document and plea form, transcripts of the inmate's plea, the factual basis given for the plea, preliminary hearing and trial transcripts, and appellate opinions. (For a full discussion of the law related to the

record of conviction, see Couzens and Bigelow, "California Three Strikes Sentencing," The Rutter Group, § 4:5, pp. 4-14 - 4-26 (2013).) It is not clear, however, whether the court may consider live testimony on behalf of either the defense or prosecution. Such evidence is prohibited in the context of proving a strike. (*Reed, supra*, and *People v. Guerrero* (1988) 44 Cal.3d 343.) It is an open question whether live testimony will be permitted to prove or disprove the disqualifying element of a current or past conviction.

The right to consider the entire record of conviction, however, is not unlimited. The court may not base a finding of ineligibility based on criminal activity not a part of petitioner's conviction, and which relates to crimes dismissed as part of a plea bargain. The facts of *People v. Berry* (2015) 235 Cal.App.4th 1417, illustrate this limitation. In *Berry* the defendant had been accused of forgery and possession of a fraudulent driver's license. He was also accused of several other crimes related to the illegal use or possession of firearms. The defendant admitted the forgery and fraud counts, but all of the firearm charges were dismissed. *Berry* held the court could not consider the firearm allegations in denying a petition under section 1170.126 because those facts were not a part of the record of the conviction of the crimes petitioner had admitted. (*Berry*, at pp. 1425-1428.)

The restriction to the "record of conviction," however, is not absolute. In *People v. Triplett* (2016) 244 Cal.App.4th 824, a Proposition 47 case, the parties agreed to certain facts regarding a prior conviction, such facts being offered in supplement to the facts contained in the record. The court held it was proper to consider these additional facts. "[W]e conclude that in determining eligibility for sentence modification under the Act, a trial court is not limited to the record of conviction, but may also consider any factual stipulations or clear agreements by the parties that add to, but do not contradict, the record of conviction." (*Triplett*, at p. 826.)

The probation report is not a part of the record of conviction. It was error by the trial court to use the probation report in establishing the defendant was armed at the time of the crime. (*People v. Burns* (2015) 242 Cal.App.4th 1452.)

If the matter cannot be resolved at the first court hearing or settlement conference, the petition should be set for a contested evidentiary hearing, giving the prosecution and defense sufficient time to gather information in support of or in opposition to the request for resentencing, including the determination of whether the inmate poses an unreasonable risk to public safety. The court should determine whether the matter should be referred to the probation department for a supplemental report on the issues relevant to the determination of the merits of the petition. A supplemental probation report is required for sentencing proceedings that "occur a significant period of time after the original report was prepared." (Cal. Rules of Court, Rule 4.411(c); *People v. Dobbins* (2005) 127

Cal.App.4th 176 [eight-month interval was a significant period of time].) On the other hand, a probation report is not *required* if the person is not eligible for probation. (*People v. Johnson* (1999) 70 Cal.App.4th 1429, 1432.)

If the inmate does not satisfy the minimum statutory requirements for eligibility for resentencing, the court should deny the petition and remand the inmate to CDCR for service of the original term. A proposed form of order is in Appendix G.

Appellate review of eligibility

If the prosecution disagrees with a trial court's determination of eligibility for resentencing, the proper remedy is to pursue a writ of mandate in the appellate court. As observed in *People v. Valdez* (2016) ___ Cal.App.4th ___, ___ [2016 WL 1719082]: "As explained in *People v. Superior Court (Martinez)* (2014) 225 Cal.App.4th 979, if the Attorney General wished to challenge that eligibility finding in this court, the proper remedy was to file a petition for writ of mandate. (*Id.* at p. 988; *People v. Superior Court (Cervantes)* (2014) 225 Cal.App.4th 1007, 1011 [acknowledging prosecutor properly challenged the trial court's eligibility determination by writ petition, prior to the resentencing hearing].) Such a writ petition constituted a plain, speedy and adequate remedy to challenge that ruling, and consequently the failure to pursue it constitutes a waiver of that challenge. (*People v. Fond* (1999) 71 Cal.App.4th 127, 133-134 [prosecution waived its right to challenge an allegedly inadequate sentence by failing to file its own appeal].)"

Pleading and proof

For a defendant to be excluded from the new sentencing provisions under sections 667 and 1170.12, the circumstances of the exclusion must be pled and proven by the prosecution. (§§ 667(e)(2)(C) and 1170.12(c)(2)(C).) There is no similar express pleading and proof requirement to disqualify an inmate from the resentencing provisions of section 1170.126. (*People v. Elder* (2014) 227 Cal.App.4th 1308, 1315-1316; *People v. Bradford* (2014) 227 Cal.App.4th 1322, 1332-1333; *People v. Guilford* (2014) 228 Cal.App.4th 651; *People v. Brimmer* (2014) 230 Cal.App.4th 782, 801-803; *People v. Osuna* (2014) 225 Cal.App.4th 1020, 1033; *People v. Hicks* (2014) 231 Cal.App.4th 275; *People v. Estrada* (2015) 243 Cal.App.4th 336; *People v. Chubbuck* (2014) 231 Cal.App.4th 737 [no "plead and prove" requirement regarding a showing that the defendant "intended to cause great bodily injury to another person."].) As a practical matter, however, likely the burden will be on the prosecution to prove the defendant should be excluded from resentencing. First, the prosecution will have access to the necessary court records to establish the exclusion. Second, the legal system generally takes the position that if a party seeks the benefit of an exclusion, the burden of proving the exclusion is on the party seeking it. (See, e.g., *People v. Feno* (1984) 154 Cal.App.3d 719, 727-728.)

Burden of proof

The courts are divided on the issue of the current burden of proof of a factor that disqualifies a person from the benefits of Proposition 36. *People v. Osuna* (2014) 225 Cal.App.4th 1020, 1040, concludes the burden is by preponderance of the evidence. *People v. Arevalo* (2016) 244 Cal.App.4th 836, holds disqualifiers must be proved beyond a reasonable doubt.

Dangerousness

The potential dangerousness of the petitioner is not a factor in the determination of eligibility for resentencing; it only becomes a factor in deciding whether an eligible petitioner in fact will be resentenced. “[W]e cannot endorse the trial court's apparent belief that the mandate requiring the Three Strikes Reform Act to be liberally construed to effectuate ‘the protection of the health, safety, and welfare of the people of the State of California’ (Voter Information Guide, *supra*, text of Prop. 36, § 7, at p. 110) means that all provisions defining an inmate's *eligibility* for resentencing under section 1170.126 must be construed against finding the inmate eligible. While we acknowledge that an important goal of the Three Strikes Reform Act is to prevent dangerous criminals from being released from prison early, that concern is not directly implicated in the initial determination of an inmate's *eligibility* for resentencing. It is only after an inmate is deemed eligible under subdivision (e) of section 1170.126 that the trial court undertakes the required assessment of that inmate's *dangerousness* pursuant to subdivisions (f) and (g) of the statute. No eligible inmate who is determined by the court to ‘pose an unreasonable risk of danger to public safety’ (§ 1170.126, subd. (f)) will be entitled to resentencing.” (*People v. Berry* (2015) 235 Cal.App.4th 1417, 1425; emphasis in original.)

No right to jury

The defendant has no right to a jury determination of his eligibility for resentencing. *Apprendi v. New Jersey* (2000) 530 U.S. 466, has no application to the retrospective nature of the petition for resentencing. (*People v. Elder* (2014) 227 Cal.App.4th 1308, 1315; *People v. Bradford* (2014) 227 Cal.App.4th 1322, 1331-1336; *People v. Guilford* (2014) 228 Cal.App.4th 651, 662-663; *People v. Brimmer* (2014) 230 Cal.App.4th 782, 803-804; *People v. Osuna* (2014) 225 Cal.App.4th 1020, 1038-1039; *People v. Berry* (2015) 235 Cal.App.4th 1417, 1428; *People v. Lopez* (2015) 236 Cal.App.4th 518; see also *People v. Superior Court (Kaulick)* (2013) 215 Cal.App.4th 1279, 1303.) The petitioner is not entitled to a jury determination of

dangerousness. (*People v. Losa* (2014) 232 Cal.App.4th 789; *People v. Valdez* (2016) ___ Cal.App.4th ___ [2016 WL 1719082].)

4. Qualification hearing: determination of unreasonable risk to public safety

If the petitioner does satisfy the statutory eligibility requirements, "the petitioner shall be sentenced" as a second strike offender, "**unless the court, in its discretion, determines that resentencing the petitioner would pose an unreasonable risk of danger to public safety.**" (§ 1170.126(f); emphasis added.) The language in section 1170.126(f) is strong: the petitioner "shall" be resentenced as a second strike offender "unless" there is the finding of dangerousness. The burden of proof of dangerousness is on the prosecution. (*People v. Superior Court (Kaulick)* (2013) 215 Cal.App.4th 1279; *People v. Flores* (2014) 227 Cal.App.4th 1070, 1075-1076.)

Burden of proof

Appellate courts agree that the applicable burden of proof is preponderance of the evidence. (*People v. Payne* (2014) 232 Cal.App.4th 579 (*Payne*), *People v. Superior Court (Kaulick)* (2013) 215 Cal.App.4th 1279, 1301-1305 (*Kaulick*); and *People v. Flores* (2014) 227 Cal.App.4th 1070, 1075-1076, hold the prosecution has the burden of proving dangerousness, and that it must be proved by a preponderance of the evidence. The court in *Payne* clarified that only the *facts* leading to the conclusion of dangerousness must be proved by a preponderance of the evidence; the ultimate decision by a trial court that a defendant does pose an unreasonable risk of danger to public safety, however, is a discretionary determination. *Payne* has been granted review by the Supreme Court.

As observed in *Kaulick* at pages 1304-1305: "[T]he United States Supreme Court has already concluded that its opinions regarding a defendant's Sixth Amendment right to have essential facts found by a jury beyond a reasonable doubt do not apply to limits on downward sentence modifications due to intervening laws. (*Dillon v. United States* (2010) — U.S. —, 130 S.Ct. 2683, 2692, 177 L.Ed.2d 271 (*Dillon*)). At issue in *Dillon* was a modification to the sentencing guideline range for the offense of which the defendant was convicted. The law provided that a prisoner's sentence could be modified downward when the range had been lowered; however, the law provided that a sentence could only be lowered if consistent with applicable policy statements. Those policy statements, in turn, provided that a sentence could not be reduced below the minimum sentence of an amended sentencing range except to the extent that the original term was below the original range. The Supreme Court had already held that, in order to avoid constitutional problems, the federal Sentencing Guidelines were advisory, rather than mandatory. The issue in *Dillon* was whether the policy statement,

which did not permit reducing a sentence below the amended range except to the extent the original term was below the original range, must also be rendered advisory. (*Id.* at p. 2687.) The Supreme Court concluded that it remained mandatory. This was so because the statute allowing resentencing when the sentencing range was lowered was, itself, not a plenary resentencing in the usual sense. Instead, the statute simply authorized a limited adjustment to an otherwise final sentence. (*Id.* at p. 2691.) The court stated, ‘Notably, the sentence-modification proceedings authorized by [the statute] are not constitutionally compelled. We are aware of no constitutional requirement of retroactivity that entitles defendants sentenced to a term of imprisonment to the benefit of subsequent Guidelines amendments. Rather [the statute] represents a congressional act of lenity intended to give prisoners the benefit of later enacted adjustments to the judgments reflected in the Guidelines. ¶] Viewed that way, proceedings under [this statute] do not implicate the Sixth Amendment right to have essential facts found by a jury beyond a reasonable doubt. Taking the original sentence as given, any facts found by a judge at a [modification downward] proceeding do not serve to increase the prescribed range of punishment; instead, they affect only the judge's exercise of discretion within that range.’ (*Id.* at p. 2692.) Such decisions, stated the court, simply do not implicate Sixth Amendment rights. (*Ibid.*)”

Kaulick then concluded: “The language in *Dillon* is equally applicable here. The retrospective part of the Act is not constitutionally required, but an act of lenity on the part of the electorate. It does not provide for wholesale resentencing of eligible petitioners. Instead, it provides for a proceeding where the original sentence may be modified downward. Any facts found at such a proceeding, such as dangerousness, do not implicate Sixth Amendment issues. Thus, there is no constitutional requirement that the facts be established beyond a reasonable doubt. ¶] Instead, we conclude the proper standard of proof is preponderance of the evidence. Evidence Code section 115 provides that, ‘[e]xcept as otherwise provided by law, the burden of proof requires proof by a preponderance of the evidence.’ There is no statute or case authority providing for a greater burden, and *Kaulick* has not persuaded us that any greater burden is necessary. In contrast, it is the general rule in California that once a defendant is eligible for an increased penalty, the trial court, in exercising its discretion to impose that penalty, may rely on factors established by a preponderance of the evidence. (*In re Coley* (2012) 55 Cal.4th 524, 557, 146 Cal.Rptr.3d 382, 283 P.3d 1252.) As dangerousness is such a factor, preponderance of the evidence is the appropriate standard.” (*Kaulick*, at pp. 1304-1305, footnotes omitted.)

People v. Payne (2014) 232 Cal.App.4th 579, clarified that only the *facts* leading to the conclusion of dangerousness must be proved by a preponderance of the evidence. “To summarize, a trial court need not determine, by a preponderance of the evidence, that resentencing a petitioner would pose an unreasonable risk

of danger to public safety before it can properly deny a petition for resentencing under the Act. Nor is the court's ultimate determination subject to substantial evidence review. Rather, its finding will be upheld if it does not constitute an abuse of discretion, i.e., if it falls within 'the bounds of reason, all of the circumstances being considered. [Citations.]' (*People v. Giminez* (1975) 14 Cal.3d 68, 72.) The facts or evidence upon which the court's finding of unreasonable risk is based must be proven by the People by a preponderance of the evidence, however, and are themselves subject to our review for substantial evidence. If a factor (for example, that the petitioner recently committed a battery, is violent due to repeated instances of mutual combat, etc.) is not established by a preponderance of the evidence, it cannot form the basis for a finding of unreasonable risk. (See *People v. Cluff* (2001) 87 Cal.App.4th 991, 998 [trial court abuses its discretion when factual findings critical to decision find no support in record]; cf. *People v. Read* (1990) 221 Cal.App.3d 685, 689-691 [where trial court erroneously determined defendant was statutorily ineligible for probation, reviewing court was required to determine whether trial court gave sufficient other reasons, supported by facts of case, for probation denial].)" (*Payne*, at p. 488; footnote omitted.) *Payne* has been granted review by the Supreme Court.

People v. Esparza (2015) 242 Cal.App.4th 726, adopts the "preponderance of the evidence standard of proof as established in *Kaulick*. "As the *Kaulick* court explained, the proper standard of proof is preponderance of the evidence. 'Evidence Code section 115 provides that, "[e]xcept as otherwise provided by law, the burden of proof requires proof by a preponderance of the evidence.'" There is no statute or case authority providing for a greater burden, and [defendant] has not persuaded us that any greater burden is necessary. In contrast, it is the general rule in California that once a defendant is eligible for an increased penalty, the trial court, in exercising its discretion to impose that penalty, may rely on factors established by a preponderance of the evidence. [Citation.] As dangerousness is such a factor, preponderance of the evidence is the appropriate standard.' (*Kaulick*, supra, 215 Cal.App.4th at p. 1305, 155 Cal.Rptr.3d 856, fns. omitted.)" (*Esparza*, at p. 741.)

Esparza also concluded, however, the prosecution did not offer any evidence supporting the inference of dangerousness; defendant was granted a new hearing. (*Esparza*, at pp. 744-746; see discussion *infra*.)

There is no presumption in favor of resentencing. (*People v. Garcia* (2016) 244 Cal.App.4th 224.)

The hearing

The court in *People v. Esparza* (2015) 242 Cal.App.4th 726, 745-746, discusses the nature of the hearing on dangerousness. "Defendant is entitled to a . . .

resentencing hearing at which the prosecution must present evidence that *currently* defendant poses an unreasonable risk of danger to public safety. To do so, the prosecution must present substantial evidence that that is the case.¹⁴ By definition, ‘substantial evidence’ requires *evidence* and not mere speculation. In any given case, one ‘may *speculate* about any number of scenarios that may have occurred.... A reasonable inference, however, “may not be based on suspicion alone, or on imagination, speculation, supposition, surmise, conjecture, or guess work. [¶] ... A finding of fact must be an inference drawn from evidence rather than ... a mere speculation as to probabilities without evidence.”’ (Morris, *supra*, 46 Cal.3d at p. 21, 249 Cal.Rptr. 119, 756 P.2d 843, disapproved on an unrelated point in *In re Sassounian* (1995) 9 Cal.4th 535, 543, fn. 5, 37 Cal.Rptr.2d 446, 887 P.2d 527.) ¶ We make the following observations for the benefit of the trial court on remand. In discussing the ‘some evidence’ standard applicable in parole cases, the California Supreme Court has stated: ‘This standard is unquestionably deferential, but certainly is not toothless, and “due consideration” of the specified factors requires more than rote recitation of the relevant factors with no reasoning establishing a rational nexus between those factors and the necessary basis for the ultimate decision—the determination of current dangerousness.’ (*In re Lawrence* (2008) 44 Cal.4th 1181, 1210, 82 Cal.Rptr.3d 169, 190 P.3d 535 (*Lawrence*)). ¶ Although we decline to decide how and to what extent parole cases inform the decision whether to resentence a petitioner under the Act or our review of such a decision, we believe that the proper focus is on whether the petitioner *currently* poses an unreasonable risk of danger to public safety. (*Cf. In re Shaputis* (2008) 44 Cal.4th 1241, 1254, 82 Cal.Rptr.3d 213, 190 P.3d 573 (*Shaputis*); *Lawrence, supra*, 44 Cal.4th at p. 1214, 82 Cal.Rptr.3d 169, 190 P.3d 535.) Further, we believe that a trial court may properly deny resentencing under the Act based solely on immutable facts such as a petitioner’s criminal history ‘*only* if those facts support the ultimate conclusion that an inmate *continues* to pose an unreasonable risk to public safety. [Citation.]’ (*Lawrence, supra*, at p. 1221, 82 Cal.Rptr.3d 169, 190 P.3d 535.) ‘ “[T]he relevant inquiry is whether [a petitioner’s prior criminal and/or disciplinary history], when considered in light of other facts in the record, are such that they continue to be predictive of current dangerousness many years [later]. This inquiry is ... an individualized one, and cannot be undertaken simply by examining the circumstances of [the petitioner’s criminal history] in isolation, without consideration of the passage of time or the attendant changes in the inmate’s psychological or mental attitude. [Citation.]” [Citation.]’ (*Shaputis, supra*, at pp. 1254–1255, 82 Cal.Rptr.3d 213, 190 P.3d 573.)” (Emphasis in original.)

The hearing itself likely would be conducted in the same manner as an original sentencing proceeding. There is nothing in Proposition 36 that suggests the rules of evidence and procedure would be any different than traditional sentencing proceedings. Accordingly, there likely may be limited use of hearsay evidence, such as in probation reports. "In determining the appropriate term, the court may

consider the record in the case, the probation officer's report, other reports, including reports received pursuant to Section 1203.03, and statements in aggravation or mitigation submitted by the prosecution, the defendant, or the victim, or the family of the victim if the victim is deceased, and any further evidence introduced at the sentencing hearing." (§ 1170(b).) At sentencing, the court is permitted to consider a broad range of information, including responsible unsworn and out-of-court statements concerning the defendant, provided, however, there is a substantial basis for believing the information is reliable. (*People v. Arbuckle* (1978) 22 Cal. 3rd 749, 754; *People v. Lamb* (1999) 76 Cal. App. 4th 664, 683.)

The petitioner in *People v. Flores* (2014) 227 Cal.App.4th 1070, challenged the phrase "unreasonable risk of danger to public safety," because of the alleged vagueness of the word "unreasonable." The challenge was rejected. "Surely a superior court judge is capable of exercising discretion, justly applying the public safety exception, and determining whether a lesser sentence would pose an unreasonable risk of harm to the public safety. (See e.g. *People v. Espinoza* (2014) 226 Cal.App.4th 635 [grant of relief where a lesser sentence would not impose an unreasonable risk of harm to the public safety].) [Footnote omitted.] This is one of those instances where the law is supposed to have what is referred to by Chief Justice Rehnquist as 'play in the joints.' (*Locke v. Davey* (2004) 540 U.S. 712, 718 [158 L.Ed.2d 1].) 'This is a descriptive way of saying that the law is flexible enough for the . . . trial court to achieve a just result depending upon the facts, law, and equities of the situation.' (*Advanced Mod.Sputtering, Inc. v. Superior Court* (2005) 132 Cal.App.4th 826, 835.)" (*Flores* at p. 1075.)

No right to a jury determination of dangerousness

The petitioner has no right to a jury determination of his eligibility for resentencing. *Apprendi v. New Jersey* (2000) 530 U.S. 466, has no application due to the retrospective nature of the petition for resentencing. (*People v. Elder* (2014) 227 Cal.App.4th 1308, 1315; *People v. Bradford* (2014) 227 Cal.App.4th 1322, 1331-1336; *People v. Guilford* (2014) 228 Cal.App.4th 651, 662-663; *People v. Losa* (2014) 232 Cal.App.4th 789; *People v. Esparza* (2015) 242 Cal.App.4th 726, 737-740; *People v. Garcia* (2016) 244 Cal.App.4th 224; *People v. Myers* (2016) 245 Cal.App.4th 794; see also *People v. Superior Court (Kaulick)* (2013) 215 Cal.App.4th 1279, 1303.)

Evidence of dangerousness

The scope of evidence that is admissible for the determination of dangerousness appears very broad. While a determination of the statutory eligibility for resentencing may be limited to the "record of conviction," nothing in Proposition 36 suggests any such limitation with respect to the issue of dangerousness. Presumably both parties will be permitted to offer live testimony relevant to this issue.

In determining the dangerousness of the inmate, the court may consider: (§ 1170.126(g))

- (1) The petitioner's criminal conviction history, including the type of crimes committed, the extent of injury to victims, the length of prior prison commitments, and the remoteness of the crimes;
- (2) The petitioner's disciplinary record and record of rehabilitation while incarcerated; and
- (3) Any other evidence the court, within its discretion, determines to be relevant in deciding whether a new sentence would result in an unreasonable risk of danger to public safety.

Whether an inmate is dangerous if resentenced will depend on a careful review of all of the inmate's circumstances. Some of the factors the court may wish to consider are:

- The actuarial risk rating of the inmate and classification score by CDCR. Because of the age of most of the petitioners, the risk score should be relatively low; if it is not, there may be an indication of dangerousness.
- The extent to which the inmate has a well-grounded re-entry plan and support services. (See discussion, *infra*, regarding the application of Postrelease Community Supervision.)
- The extent of any significant mental health issues, particularly those that will require continuing intervention and medication. In this regard, it may be useful for the court to appoint a qualified mental health professional under Evidence Code, section 730 to assist in this aspect of the review. While normally an inmate would have a medical privilege not to have psychological records disclosed, likely the privilege would be deemed waived by the filing of a petition under section 1170.126. Certainly the psychological history of an inmate can have a direct bearing on the issue of dangerousness.
- Information disclosed by a current review of the inmate's record of

convictions. It may be important to know what crimes the inmate committed between the last strike offense and the crime resulting in the life commitment - the pattern of criminal conduct. In other words, was the intervening conduct insignificant or reflective of dangerousness.

- Where any victims particularly vulnerable.
- The extent to which there may be non-criminal evidence of the inmate's character or tendency to violence.

To assist in the determination of dangerousness, the court may obtain a supplemental probation report, but one is not required. (*People v. Franco* (2014) 232 Cal.App.4th 831.)

The court may, but is not obligated to, appoint a defense expert on the issue of current dangerousness. (*People v. Rodriguez* (2015) 233 Cal.App.4th 1403.)

It is important to observe that while the review of a petition under section 1170.126 has some similarity to consideration of a motion to dismiss strikes under section 1385, petitions for resentencing are actually governed by a somewhat different standard. In ruling on a motion to dismiss a strike, the court must determine whether “in light of the nature and circumstances of the [defendant’s] present felonies and the prior serious and/or violent felony convictions, and the particulars of his background, character and prospects, the defendant may be deemed to be outside the . . . spirit [of the Three Strikes law], in whole or in part.” (*People v. Williams* (1998) 17 Cal.4th 148, 161; *People v. Garcia* (1999) 20 Cal.4th 490, 498-499.) The burden is on the defendant to establish proper grounds for relief.

Under section 1170.126(f), however, the petition for resentencing must be granted unless the court “determines that resentencing the petitioner would pose an unreasonable risk of danger to public safety.” Here, the prosecution must carry the burden of proving dangerousness. (*People v. Superior Court (Kaulick)* (2013) 215 Cal.App.4th 1279.) While both sections 1385 and 1170.126(f) may involve a consideration of many of the same factors concerning the defendant (*e.g.*, family ties, employment history, age, remoteness of the crime and prior strikes), including the defendant’s dangerousness, the discretion of the court to refuse resentencing is more narrowly proscribed than under section 1385. While a defendant must prove he is “outside the spirit” of the Three Strikes law to obtain relief under section 1385, under section 1170.126(f) the defendant is entitled to relief unless the court finds an unreasonable risk to public safety. Accordingly, merely because the court may have previously denied a request for dismissal of a strike at the original sentencing does not mean the court should deny a request for resentencing without independently determining the defendant “poses an unreasonable risk of danger to public safety.”

CDCR maintains considerable information about the inmate. See Appendix B for a list of its resource information. CDCR has indicated they will be creating the position of "Litigation Coordinator" at each prison to facilitate the release of pertinent information to the court. Some of the information will require the use of a subpoena or release, such as requests for medical records.

Presumably the exercise of the court's discretion on dangerousness will be subject to review for abuse of discretion. *People v. Superior Court (Kaulick)* (2013) 215 Cal.App.4th 1279, 1306, fn. 29, suggests the decision to deny resentencing based on dangerousness "is somewhat akin to a decision denying an inmate parole." As such, a finding of dangerousness will be upheld so long as there is "some evidence" in support of the decision.

The court may not continue the hearing on the application for resentencing to give the petitioner an opportunity to prove that he is not a danger to public safety. "Nothing contained in the plain language of the Act expressly authorizes a court to continue or hold in abeyance a petition for resentencing for the purpose of reexamining the inmate's dangerousness. When we examine the procedural framework of the Act, we reach the exact opposite conclusion. It authorizes an inmate to file a single resentencing petition within two years of its effective date, November 7, 2012. These limitations indicate an intent to resolve these petitions within a finite time period. The plain statutory language provides that the court "shall" determine eligibility and "shall" resentence the inmate unless it determines resentencing the petitioner will pose an unreasonable risk of danger to public safety. This language indicates a duty by the court to make these determinations. The drafters of the Act could have created a statutory scheme to allow the court to retain jurisdiction to reevaluate the danger posed periodically or at some future time. They did not do so." (*People v. Superior Court (Burton)*(2015) 232 Cal.App.4th 1140, 1146-1147.) In accord is *People v. Superior Court (Williams)*(2015) 232 Cal.App.4th 1149 ["We do not disagree that, as the court did several times in this case, the court has authority to continue proceedings to obtain records, transport the inmate, accommodate counsel, etc., but this order was not made so that it could control its calendar and conduct a full hearing on the matter. Instead, the court ordered the matter in abeyance for the express purpose of determining whether Williams no longer poses a danger to society. It informed Williams that he was to do certain tasks, including continuing programming and mental health treatment in order to convince it that he was no longer a danger. The court does not have inherent authority to grant a continuance for whatever length of time it deems appropriate to reevaluate the inmate's dangerousness." (*Id.* at p. 1156.)]

Current dangerousness

Although nothing in Proposition 36 expressly addresses the issue, *People v Payne* (2014) 232 Cal. App. 4th 579, requires consideration of current dangerousness in the context of the exclusion in Proposition 36. "Although we decline to decide how and to what extent parole cases inform the decision whether to resentence a petitioner under the Act or our review of such a decision, we do agree with defendant that the proper focus is on whether the petitioner *currently* poses an unreasonable risk of danger to public safety. (Cf. *In re Shaputis* (2008) 44 Cal.4th 1241, 1254; *In re Lawrence* [(2008) 44 Cal.4th 1181,] 1214.) We also agree a trial court may properly deny resentencing under the Act based solely on immutable facts such as a petitioner's criminal history 'only if those facts support the ultimate conclusion that an inmate continues to pose an unreasonable risk to public safety. [Citation.]' (*In re Lawrence, supra*, at p. 1221.) ' "[T]he relevant inquiry is whether [a petitioner's prior criminal and/or disciplinary history], when considered in light of other facts in the record, are such that they continue to be predictive of current dangerousness many years [later]. This inquiry is ... an individualized one, and cannot be undertaken simply by examining the circumstances of [the petitioner's criminal history] in isolation, without consideration of the passage of time or the attendant changes in the inmate's psychological or mental attitude. [Citation.]" [Citation.]' (*In re Shaputis, supra*, 44 Cal.4th at pp. 1254-1255.)" (*Payne*, at pp. 601-602; emphasis in original; see also *People v. Rodriguez* (2015) 233 Cal.App.4th 1403.) *Payne* has been granted review by the Supreme Court.

People v. Esparza (2015) 242 Cal.App.4th 726, 746, also requires the prosecution to establish the defendant is *currently* dangerous if resentenced.

Dangerousness and the transition plan

No one disputes that persons released from prison after many years of custody will likely have serious issues of re-integration into the community. How those transition services are to be provided is a matter of some dispute. The critical question is whether a court may deny resentencing if the inmate fails to establish a suitable re-entry plan, on the theory that without such a plan, the inmate is too dangerous to release. The level of support services on release certainly can have a direct bearing on the issue of dangerousness. It would seem contrary to the purpose of Proposition 36 to force a court to resentence an inmate in the absence of a suitable transition plan if to do so would create an unreasonable risk of danger to public safety.

Some courts have taken the position that these inmates will be covered by the Postrelease Community Supervision (PRCS) provisions of section 3451(a). Such a

position clearly is proper where after resentencing the inmate has remaining time to do on the sentence or there is a remaining period available for PRCS. The more difficult question is whether PRCS is available to persons who have completed their sentence, plus the three years of PRCS.

According to the law prior to the creation of PRCS, if a defendant served his entire prison term, plus the parole term, he was entitled to be released unconditionally. This rule comes from section 2009.5. Section 2009.5(a) provides that custody credits apply against the "term of imprisonment." Section 2009.5(c) specifies the "term of imprisonment" includes any parole period. Once the entire term of imprisonment is satisfied, the defendant was entitled to be released from any custody or supervision. (*In re Sosa* (1980) 102 Cal.App.3d 1002.)

Sections 3451 and 3000.08, however, may provide a different rule now that there is PRCS. Section 3451(a) provides: "*Notwithstanding any other law* and except for [designated persons], all persons released from prison on and after October 1, 2011, or, whose sentence has been deemed served pursuant to Section 2900.5 after serving a prison term for a felony shall, upon release from prison and for a period not exceeding three years immediately following release, be subject to community supervision provided by a county agency designated by each county's board of supervisors which is consistent with evidence-based practices, including, but not limited to, supervision policies, procedures, programs, and practices demonstrated by scientific research to reduce recidivism among individuals under postrelease supervision." (Emphasis added.) Section 3000.08(a) identifies those inmates who will remain under the jurisdiction of CDCR when they are released on parole. Section 3000.08(b), which applies to everyone else, provides "[n]otwithstanding any other provision of law, all other offenders released from prison shall be placed on postrelease supervision pursuant to " sections 3450, *et seq.* (Emphasis added.)

Clearly these statutes at least mean that irrespective of any other statute that specifies supervision is to be provided by CDCR, supervision now is with the counties under PRCS. The question is whether the phrase is broad enough to include *whether* the defendant is to be supervised. Since section 3000.08 deals exclusively with *who* is to provide supervision, it seems the intent of that statute is simply to make absolutely clear that as to certain inmates, CDCR will no longer be responsible for any post-prison supervision. The intent of section 3451(a) is less clear, particularly as to whether its provisions will be subject to the over-lay created by *Sosa*.

On the other hand, the phrase "notwithstanding any other provision of law" is unambiguous and direct. It is a phrase that carries great weight in the interpretation of statutes. There are a number of strong policy reasons why the Legislature may wish to have *all* inmates released to county supervision after

serving a lengthy term in state prison. Certainly it is not open to question that the Legislature has the authority to create the requirement if it so chose.

Some courts are requesting an inmate's voluntary participation in PRCS. There is little question that an inmate could voluntarily agree to PRCS after an informed waiver. The waiver should be accompanied with an explanation that the inmate will have a three-year term of supervision, that he may be incarcerated up to 180 days for each violation, that he may be subject to flash incarceration of up to 10 days for each violation at the discretion of the probation officer, and that he will be subject to standard conditions of supervision including search and seizure and treatment. The bigger question is whether the court may deny resentencing if the inmate does not agree to the supervision. The answer to this question will likely depend on how the court approaches the issue. It likely would be improper to deny resentencing if the inmate is otherwise suitable for resentencing even without supervision. It likely would be proper, however, for a court to deny resentencing if the court concludes the inmate needs supervision not to be dangerous and there is no viable means for providing such supervision, absent the inmate's voluntary participation.

The Three Strikes Project of Stanford Law School has created a resource list for re-entry services, at least for some of the metropolitan counties. The website may be accessed at www.reentry.Prop36.org.

5. The effect of Proposition 47

Proposition 47 potentially effects the Three Strikes law in a number of respects. First, persons serving second strike sentences for crimes that are made misdemeanors under this act may petition for resentencing. In contrast, Proposition 36 limits its resentencing provisions to persons serving third strike sentences. This is subject, of course, to the court's determination of whether the petitioner will pose an unreasonable risk of danger to public safety if resentenced.

Second, Proposition 47 allows qualified third strike offenders to be resentenced as misdemeanants. While Proposition 36 only permits resentencing as a second strike offender, Proposition 47 requires qualified persons to receive a misdemeanor sentence, without any consideration of a further prison term either as a second strike or non-strike offender. Again, the court may deny the petition if the person poses an "unreasonable risk of danger to public safety," as that phrase is defined in the more restrictive provisions of Proposition 47.

If the defendant had been sentenced as a strike offender under the Three Strikes law, but is resentenced as a misdemeanor, custody credits should be calculated using the traditional formula under section 2933 (50% credit), not the more restrictive formula specified by section 1170.12(a)(5) (20% credit).

Third, there is a question whether Proposition 47 amends Proposition 36 in a manner that allows a greater number of third strike offenders to be resentenced as second strike offenders. As originally enacted by the voters, Proposition 36 allows a court to refuse resentencing of any person if to do so would create an “unreasonable risk of danger to public safety.” Because Proposition 36 did not further define that phrase, courts were given broad discretion to determine what degree of danger a particular petitioner may pose. Proposition 47 limits the court’s ability to deny a petition based on dangerousness to those cases where a defendant is at risk of committing a “super strike.” The initiative expressly imposes its more restrictive definition of “unreasonable risk of danger to public safety” *wherever that phrase is “used throughout this Code.”* (§ 1170.18(c).) There is now a question whether the phrase means the entire Penal Code, including section 1170.126 for resentencing of third strike offenders, or whether it will be limited to petitions for resentencing under section 1170.18. If Proposition 47’s definition applies to resentencing under Proposition 36, in determining whether a third strike offender poses an unreasonable risk if resentenced, the court is limited to determining whether there is an unreasonable risk that the petitioner will commit any of the designated violent felonies – the “super strikes.”

In *People v. Valencia* (2014) 232 Cal.App.4th 514 [*Valencia*], a divided panel of the Court of Appeal held the new definition of dangerousness in section 1170.18(c) has no application to petitions for resentencing brought under Proposition 36. The decision primarily is based on the failure of the sponsors to bring the nature of the amendment to the attention of the voters. “Hidden in the lengthy, fairly abstruse text of the proposed law, as presented in the official ballot pamphlet — and nowhere called to voters’ attention — is the provision at issue in the present appeal [, section 1170.18(c)].” (*Valencia*, p. 526.) “Nowhere in the ballot materials for Proposition 47 were voters given any indication that initiative, which dealt with offenders whose current convictions would now be misdemeanors rather than felonies, had any impact on [Proposition 36], which dealt with offenders whose current convictions *would still be felonies*, albeit not third strikes.” (*Valencia*, at pp. 531-532; emphasis in original.) “[W]e cannot reasonably conclude voters intended the definition of “unreasonable risk of danger to public safety” contained in section 1170.18, subdivision (c) to apply to that phrase as it appears in section 1170.126, subdivision (f), despite the former section’s preamble, ‘As used throughout this Code’ Voters cannot intend something of which they are unaware.” (*Valencia*, at p. 533.) “We are asked to infer an intent to extend section 1170.18, subdivision (c)’s definition to proceedings under section 1170.126 because the phrase in question only appears in those sections of the Penal Code.

We cannot do so. The only resentencing mentioned in the Proposition 47 ballot materials was resentencing for inmates whose current offenses would be reduced to *misdemeanors*, not those who would still warrant *second strike felony terms*. There is a huge difference, both legally and in public safety risked, between someone with multiple prior serious and/or violent felony convictions whose current offense is (or would be, if committed today) a misdemeanor, and someone whose current offense is a felony. Accordingly, treating the two groups differently for resentencing purposes does not lead to absurd results, but rather is eminently logical.” (*Valencia*, at p. 534; emphasis in original.)

People v. Lopez (2015) 236 Cal.App.4th 518, and *People v. Myers* (2016) 245 Cal.App.4th 794, conclude the reference to “Code” in section 1170.18(c) was a drafting error; that the enactors intended to use “Act” instead. (*Lopez*, at p. 527.) Accordingly, Proposition 47 does not amend the provisions of Proposition 36.

People v. Esparza (2015) 242 Cal.App.4th 726, also concludes Proposition 47 does not amend the definition of dangerousness in Proposition 36. “Plainly, if considered solely as a matter of grammatical construction, Proposition 47’s definition of ‘unreasonable risk of danger to public safety’ undoubtedly is tied to the words ‘As used throughout this Code.’ However, such a literal construction is not to be adopted if it conflicts with the voters’ intent shown in the official ballot pamphlet. (*People v. Briceno* (2004) 34 Cal.4th 451, 459, 20 Cal.Rptr.3d 418, 99 P.3d 1007; *People v. Osuna* (2014) 225 Cal.App.4th 1020, 1033–1034, 171 Cal.Rptr.3d 55.) Nothing in the official ballot pamphlet for Proposition 47 hints at any impact on the procedure for resentencing Three Strike inmates.” (*Esparza*, at p. 736.) “Before we constrain a court considering whether to release a former three strikes offender back to the streets, which we would do if we accepted defendant’s arguments, we would need the most compelling proof that the voters intended what we see as an unreasonable and counterintuitive result. Defendant has not satisfied that burden on appeal.” (*Id.*, p. 737.)

Contrary to the foregoing cases, *People v. Valdez* (2016) ___ Cal.App.4th ___ [2016 WL 1719082], holds that the Proposition 47 definition of “unreasonable risk of danger to public safety” applies to petitions for resentencing under section 1170.126 and rejects the argument that its language was a product of a drafting error. “[I]t is quite plausible, given the similarity between [persons sentenced as third strike offenders in the future and those who have received third strike sentences in the past], that the electorate expected resentencing of an eligible inmate under Proposition 36 would be refused only in circumstances where that resentencing would pose an *unusually* high risk of danger – such as in cases where the inmate is deemed likely to commit very serious crimes. Of course, that interpretation is entirely *consistent* with the definition of ‘an unreasonable risk of danger to public safety’ contained in Proposition 47. Consequently, we discern no basis for concluding that the language of section 1170.18, subdivision (c), which

plainly mandates the application of that standard ‘throughout the Code’ is the product of a drafting error.” (*Valdez*, at p. ____; emphasis in original.)

If Proposition 47 amended the Proposition 36 definition of dangerousness

Thus, *Valencia* and *Davis* conclude the petitioner had no right to reconsideration of his application for resentencing under section 1170.126 using the definition of dangerousness contained in section 1170.18(c). (*Valencia*, at p. 535.) If it is subsequently found Proposition 47 *does* amend the definition of dangerousness in section 1170.126, however, courts will be limited to considering whether there is an unreasonable risk of danger that the petitioner will commit one of the following “super strikes:”

(a) A “sexually violent offense” as defined in Welfare and Institutions Code, section 6600(b) [Sexually Violent Predator Law]: “ ‘Sexually violent offense’ means the following acts when committed by force, violence, duress, menace, fear of immediate and unlawful bodily injury on the victim or another person, or threatening to retaliate in the future against the victim or any other person, and that are committed on, before, or after the effective date of this article and result in a conviction or a finding of not guilty by reason of insanity, as defined in subdivision (a): a felony violation of Section 261, 262, 264.1, 269, 286, 288, 288a, 288.5, or 289 of the Penal Code, or any felony violation of Section 207, 209, or 220 of the Penal Code, committed with the intent to commit a violation of Section 261, 262, 264.1, 286, 288, 288a, or 289 of the Penal Code.”

(b) Oral copulation under section 288a, sodomy under section 286, or sexual penetration under section 289, if these offenses are committed with a person who is under 14 years of age, and who is more than 10 years younger than the defendant.

(c) A lewd or lascivious act involving a child under 14 years of age, in violation of section 288.

(d) Any homicide offense, including any attempted homicide offense, defined in sections 187 to 191.5, inclusive. A conviction for voluntary manslaughter under section 192(a), involuntary manslaughter under section 192(b), and vehicular manslaughter under section 192(c) will not exclude the defendant from the benefits of the new law.

As noted, the determination of dangerousness includes the potential of committing gross vehicular manslaughter while intoxicated, in violation of section 191.5(a). In that regard, likely the court will be able to consider the person’s

history of substance abuse and driving as it relates to the person’s potential of killing someone while operating a vehicle under the influence of alcohol or drugs.

(e) Solicitation to commit murder as defined in section 653f.

(f) Assault with a machine gun on a peace officer or firefighter, as defined in section 245(d)(3).

(g) Possession of a weapon of mass destruction, as defined in section 11418(a)(1).

(h) Any serious or violent offense punishable in California by life imprisonment or death.

The court may deny the petition of an offender who presents an unreasonable risk of committing any crime that has a base term punishment of life in prison, such as first or second degree murder. There is an issue, however, whether a court may consider the likelihood of the petitioner committing a life-term crime because of the application of an alternative sentencing scheme such as the Three Strikes law. In other words, may the court consider whether there is an unreasonable risk that the petitioner will commit *any* serious or violent felony, and, because he has two or more prior strikes, will receive a life sentence. The answer to this issue is found in the interpretation of the phrase “serious or violent offense *punishable in California by life imprisonment.*” (Emphasis added.) The recent case of *People v. Williams* (2014) 227 Cal.App.4th 733 (*Williams*), which sets forth a helpful analysis of three California Supreme Court cases, is instructive.

The *Williams* case

Williams concerned the application of the 10-year gang enhancement under section 186.22(b)(1)(C). That section requires the addition of 10 years to any term imposed for a violent felony committed for the benefit of a street gang under section 186.22(b)(1). Section 186.22(b)(1) “states that ‘[e]xcept as provided in paragraphs 4 and 5,’ the trial court shall impose the gang enhancement. Subdivision (b)(5) provides, in relevant part: ‘[A]ny person who violates this subdivision in the commission of a felony *punishable by imprisonment in the state prison for life* shall not be paroled until a minimum of 15 calendar years have been served.’ (Italics added.) ‘This provision establishes a 15–year minimum parole eligibility period, rather than a sentence enhancement for a particular term of years.’ [Citation omitted.]” (*Williams*, at p. 740; emphasis in original.)

Williams found three Supreme Court cases relevant to the issue. “The first is *People v. Montes* (2003) 31 Cal.4th 350, 352, 2 Cal.Rptr.3d 621, 73 P.3d 489 (*Montes*). In *Montes*, the defendant was convicted of attempted murder with

findings that he committed the crime for the benefit of a street gang (§ 186.22, subd. (b)(1)) and that he had personally and intentionally discharged a firearm causing great bodily injury (§ 12022.53, subd. (d)). The trial court sentenced him to the 7–year midterm for the attempted murder conviction plus a consecutive 10–year term for the gang enhancement, plus a consecutive term of 25 years to life for the firearm enhancement (§ 12022.53, subd. (d)). (*Id.* at p. 353, 2 Cal.Rptr.3d 621, 73 P.3d 489.) ¶ The issue was whether 186.22, subdivision (b)(5)’s use of the phrase ‘a felony punishable by imprisonment ... for life’ applied to the defendant because his felony conviction *coupled with his firearm enhancement* resulted in a life sentence. (*Montes, supra*, 31 Cal.4th at p. 352, 2 Cal.Rptr.3d 621, 73 P.3d 489.) Based upon its analysis of legislative and voter intent, *Montes* concluded: ‘[S]ection 186.22(b)(5) applies only where the felony *by its own terms provides for a life sentence.*’ (*Ibid.*; italics added.) *Montes* therefore found that the consecutive 10–year term for the gang enhancement had been correctly imposed because the defendant had not been convicted of ‘a felony punishable by imprisonment ... for life.’ (§ 186.22, subd. (b)(5).) (*Id.* at p. 353, 2 Cal.Rptr.3d 621, 73 P.3d 489.)” (*Williams*, at pp. 740-741; emphasis in original; footnote omitted.)

The second case “is *People v. Lopez* (2005) 34 Cal.4th 1002, 22 Cal.Rptr.3d 869, 103 P.3d 270 (*Lopez*). In *Lopez*, the defendant was convicted of first degree murder (§ 187). The punishment for that crime is a term of 25 years to life. (§ 190, subd. (a).) The jury also found that the defendant had committed the murder for the benefit of a street gang (§ 186.22, subd. (b)). The trial court sentenced the defendant, among other things, to 25 years to life in state prison for murder with a consecutive 10–year term for the gang enhancement. (*Id.* at p. 1005, 22 Cal.Rptr.3d 869, 103 P.3d 270.) ¶ The Supreme Court granted review in *Lopez* to decide whether a defendant convicted of first degree murder with a gang enhancement finding should be subject to a consecutive term of 10 years under section 186.22, subdivision (b)(1)(C) or, instead, the minimum parole eligibility term of 15 years set forth in section 186.22, subdivision (b)(5). ¶ The heart of the dispute was whether the phrase ‘punishable by imprisonment ... for life’ in section 186.22, subdivision (b)(5) meant ‘all life terms (including terms of years to life)’ as contended by defendant or, as urged by the Attorney General, meant “merely ‘straight’ life terms” so that the phrase did not include a sentence for first or second degree murder. (*Lopez, supra*, 34 Cal.4th at p. 1007, 22 Cal.Rptr.3d 869, 103 P.3d 270.) *Lopez* concluded that the statutory language ‘is plain and its meaning unmistakable’: ‘the Legislature intended section 186.22(b)(5) to encompass both a straight life term as well as a term expressed as years to life ... and therefore intended to exempt those crimes from the 10–year enhancement in subdivision (b)(1)(C). [Citation.]’ (*Id.* at pp. 1006–1007, 22 Cal.Rptr.3d 869, 103 P.3d 270.) Consequently, *Lopez* directed deletion of the 10–year sentence for the gang enhancement. (*Id.* at p. 1011, 22 Cal.Rptr.3d 869, 103 P.3d 270.)” (*Williams*, at pp. 741-742; footnote omitted.)

The third case is “[*People v. Jones* (2009)] 47 Cal.4th 566, 98 Cal.Rptr.3d 546, 213 P.3d 997. In *Jones*, the defendant was convicted of shooting at an inhabited dwelling, a crime punishable by a sentence of three, five or seven years. (§ 246.) The trial court selected the seven-year term but then imposed a life sentence pursuant to section 186.22, subdivision (b)(4) because the jury had found the defendant committed the crime to benefit a street gang. (*Id.* at p. 571, 98 Cal.Rptr.3d 546, 213 P.3d 997.) In addition, the trial court imposed a consecutive 20–year sentence because the defendant had personally and intentionally discharged a firearm in committing the offense. (§ 12022.53, subd. (c).) (*Id.* at p. 569, 98 Cal.Rptr.3d 546, 213 P.3d 997.) The sentence for that latter enhancement applies to the felonies listed in section 12022.53, subd. (a)(1–16) as well as to ‘[a]ny felony punishable by ... imprisonment ... for life.’ (§ 12022.53, subd. (a)(17).) Shooting at an inhabited dwelling is not one of the listed felonies but the trial court determined that defendant had been convicted of a felony punishable by life imprisonment because of the application of section 186.22, subdivision (b)(4).

“Section 186.22, subdivision (b)(4) provides: ‘Any person who is convicted of a felony enumerated in this paragraph committed for the benefit of, at the direction of, or in association with any criminal street gang, with the specific intent to promote, further, or assist in any criminal conduct by gang members, shall, upon conviction of that felony, be sentenced to an indeterminate term of life imprisonment ... [¶] (B) ... a felony violation of Section 246.’ ¶ On appeal, the issue was whether the trial court properly imposed the 20–year sentence enhancement (§ 12022.53) based upon its finding that the defendant had suffered a felony punishable by life. The defense contended that the phrase ‘[a]ny felony punishable by ... imprisonment ... for life’ (§ 12022.53, subd. (a)(17)) should be *narrowly construed* as it was in *Montes* to be limited to a felony which ‘by its own terms provides for a life sentence.’ (*Montes, supra*, 31 Cal.4th at p. 352, 2 Cal.Rptr.3d 621, 73 P.3d 489.) In particular, the defendant urged that his life term could not trigger application of section 12022.53, subdivision (c)’s additional 20–year prison term ‘because his sentence of life imprisonment did not result from his conviction of a *felony* (shooting at an inhabited dwelling) but from the application of section 186.22(b)(4), which sets forth not a felony but a penalty.’ (*Jones, supra*, 47 Cal.4th at p. 575, 98 Cal.Rptr.3d 546, 213 P.3d 997.)” (*Williams*, at pp. 742-743; footnotes omitted; emphasis in original.)

Williams observed that *Jones* distinguished *Montes*, quoting *Jones*: “‘Thus, this court in *Montes, supra*, 31 Cal.4th 350 [2 Cal.Rptr.3d 621, 73 P.3d 489], narrowly construed the statutory phrase “a felony punishable by imprisonment ... for life,” which appears in subdivision (b)(5) of section 186.22, as applying only to crimes where the underlying felony provides for a term of life imprisonment. (*Id.* at p. 352 [2 Cal.Rptr.3d 621, 73 P.3d 489].) Defendant here argues that to be consistent with *Montes*, we should give the statutory phrase “felony punishable by ...

imprisonment in the state prison for life,” which appears in subdivision (a)(17) of section 12022.53, the same narrow construction, and that, so construed, it does not include a life sentence imposed under an alternate penalty provision. *We agree with defendant that these statutory phrases should be construed similarly.* But we disagree that, construed narrowly, a felony that under section 186.22(b)(4) is punishable by life imprisonment is not a “felony punishable by ... imprisonment in the state prison for life” within the meaning of subdivision (a)(17) of section 12022.53. ¶ ‘Unlike the life sentence of the defendant in *Montes, supra*, 31 Cal.4th 350 [2 Cal.Rptr.3d 621, 73 P.3d 489], which was imposed as a *sentence enhancement* (a punishment added to the base term), here defendant's life sentence was imposed under section 186.22(b)(4), which sets forth the *penalty for the underlying felony* under specified conditions. The difference between the two is subtle but significant. “Unlike an enhancement, which provides for an *additional term* of imprisonment, [a penalty provision] sets forth an alternate *penalty for the underlying felony itself*, when the jury has determined that the defendant has satisfied the conditions specified in the statute.” [Citation.] Here, defendant committed the felony of shooting at an inhabited dwelling (§ 246), he personally and intentionally discharged a firearm in the commission of that felony (§ 12022.53(c)), and because the felony was committed to benefit a criminal street gang, it was punishable by life imprisonment (§ 186.22(b)(4)). Thus, imposition of the 20–year sentence enhancement of section 12022.53(c) was proper.’ (*Jones, supra*, 47 Cal.4th at pp. 577–578, 98 Cal.Rptr.3d 546, 213 P.3d 997, some italics added.)” (*Williams*, at p. 743; emphasis in original; footnote omitted.)

In concluding the trial court erred in imposing the 10-year gang enhancement, *Williams* observed: “In this case, defendant received sentences of 25 years to life. These sentences of 25 years to life constitute life sentences within the meaning of section 186.22, subdivision (b)(5). (*Lopez, supra*, 34 Cal.4th at p. 1007, 22 Cal.Rptr.3d 869, 103 P.3d 270.) These life sentences resulted from the application of the Three Strikes law. The Three Strikes law is a penalty provision, not an enhancement. It is not an enhancement because it does not add an additional term of imprisonment to the base term. Instead, it provides for an alternate sentence (25 years to life) when it is proven that the defendant has suffered at least two prior serious felony convictions. (See, e.g., *People v. Superior Court (Romero)* (1996) 13 Cal.4th 497, 527, 53 Cal.Rptr.2d 789, 917 P.2d 628 [‘The Three Strikes law ... articulates an alternative sentencing scheme for the current offense rather than an enhancement.’].)” (*Williams*, at p. 744.)

Application of *Montes, Lopez, Jones* and *Williams* to the definition in Proposition 47

Application of *Montes, Lopez, Jones*, and *Williams* to the Proposition 47 exclusion under section 667(e)(2)(C)(iv)(h) must be guided by the intent of the enactors in creating the restriction. It is clear the enactors specifically intended to exclude

dangerous and violent offenders from any of the benefits of the initiative. “This Act ensures that sentences for people convicted of dangerous crimes like rape, murder, and child molestation are not changed.” (Proposition 47, Section Two.) “Here’s how Proposition 47 works: . . . [It] *Keeps Dangerous Criminal Locked Up*: [It] [a]uthorizes felonies for registered sex offenders and anyone with a prior conviction for rape, murder or child molestation.” (Argument in Favor of Proposition 47, Voter Information Guide, p. 38; emphasis in original.) “[Proposition 47] includes strict protections to protect public safety and make sure rapists, murderers, molesters and the most dangerous criminals cannot benefit.” (Rebuttal to Argument Against Proposition 47, Voter Information Guide, p. 39.) The initiative directs that it “shall be broadly construed to accomplish its purposes,” and “shall be liberally construed to effectuate its purposes.” (§§ 15 and 18, Proposition 47.)

Taking into consideration the intent of the enactors that the provisions of Proposition 47 be liberally and broadly construed to exclude dangerous and violent offenders from any of its benefits, it seems consistent that courts should consider the effect of alternative sentencing schemes such as the Three Strikes law in determining whether a particular person presents an unreasonable risk to public safety. Nothing in the initiative or in logic indicates that the enactors would want courts to exclude offenders who were convicted of violent felonies with stand-alone life terms, but not exclude violent offenders who got life terms because of the Three Strikes law – these are all potentially dangerous and violent persons.

Meaning of “unreasonable risk of danger to public safety”

The phrase “unreasonable risk of danger to public safety” does not exist in any other context in California law. The requirement of a court to consider the potential risk of future criminal behavior, however, does arise in various circumstances. Under the Sexually Violent Predator Law (Welf. & Inst., §§ 6600, *et seq.*), for example, to prove that a person is an SVP, it must be shown that because of a defendant’s mental disorder, it is “likely that he or she will engage in sexually violent criminal behavior.” (Welf. & Inst. Code, §§ 6600(a), 6601(d).) The Supreme Court has concluded that “the phrase ‘*likely* to engage in acts of sexual violence’ (italics added), as used in section 6601, subdivision (d), connotes much more than the mere *possibility* that the person will reoffend as a result of a predisposing mental disorder that seriously impairs volitional control. On the other hand, the statute does not require a precise determination that the chance of reoffense is *better than even*. Instead, an evaluator applying this standard must conclude that the person is ‘likely’ to reoffend if, because of a current mental disorder which makes it difficult or impossible to restrain violent sexual behavior, the person presents a *substantial danger*, that is, a *serious and well-founded risk*, that he or she will commit such crimes if free in the community.” (*People v.*

Superior Court (Ghilotti)(2002) 27 Cal.4th 888, 922.) The court expressly rejected a requirement that the potential of committing a future sexually violent offense was “more likely than not.” (*Id.* at pp. 923-924.)

The court in a resentencing proceeding under section 1170.126 is asked to determine whether there is an unreasonable risk that the petitioner will commit one of the “super strikes” listed in section 667(e)(2)(C)(iv), not whether there is an unreasonable risk that the petitioner will commit other serious or violent felonies such as a robbery, kidnapping or arson. It will be necessary for the court to make its determination without the petitioner ever having been convicted of a “super strike” – to have such a prior conviction obviously would disqualify the petitioner without the need for any consideration of dangerousness. (§ 1170.18(i).) It is likely the hearing will focus on whether the petitioner has engaged in sufficient violent conduct to allow a court to find that the pattern of conduct creates an unreasonable risk that a super strike or registerable sex crime will be committed.

Authority to amend Proposition 36

Section 11 of Proposition 36 provides, in relevant part: “Except as otherwise provided in the text of the statutes, the provisions of this act shall not be altered or amended except by one of the following: . . . (c) By statute that becomes effective when approved by a majority of the electors.” Since section 1170.18 is a statute approved by a majority of the electors, Proposition 47, on its face, has effectively amended the provisions of section 1170.126 enacted by Proposition 36. *People v. Valencia* (2014) 232 Cal.App.4th 514, however, concludes Proposition 47 does not amend section 1170.126. (See discussion, *supra*.)

No retroactive application

People v. Chaney (2014) 231 Cal.App.4th 1391, holds Proposition 47’s new definition of “unreasonable risk of danger to public safety” does not apply to petitions for resentencing under Proposition 36 decided prior to November 5, 2014. “‘No part of [the Penal Code] is retroactive, unless expressly so declared.’ (§ 3.) The California Supreme Court ‘ha[s] described section 3, and its identical counterparts in other codes (e.g., Civ. Code, § 3; Code Civ. Proc., § 3), as codifying ‘the time-honored principle . . . that in the absence of an express retroactivity provision, a statute will not be applied retroactively unless it is very clear from extrinsic sources that the Legislature . . . must have intended a retroactive application.’” (*People v. Brown* (2012) 54 Cal.4th 314, 319 (*Brown*).) ‘In interpreting a voter initiative, we apply the same principles that govern our construction of a statute.’ (*People v. Lopez* (2005) 34 Cal.4th 1002, 1006.)” (*Chaney*, at p. 1396.) The court expressly rejected any application of *In re Estrada* (1965) 63 Cal.2d 740. “Expanding the *Estrada* rule’s scope of operation here to the definition of ‘unreasonable risk to public safety’ in Proposition 47 in a petition

for resentencing under the Act would conflict with ‘section 3[’s] default rule of prospective operation’ where there is no evidence in Proposition 47 that this definition was to apply retrospectively to petitions for resentencing under the Act and would be improper given that the definition of ‘unreasonable risk to public safety’ in Proposition 47 does not reduce punishment for a particular crime. For these reasons, we hold that the definition of ‘unreasonable risk to public safety’ in Proposition 47 does not apply retroactively to a defendant such as the one here whose petition for resentencing under the Act was decided before the effective date of Proposition 47.” (*Chaney*, at p. 1398.) The Supreme Court has granted review of *Chaney* to examine whether Proposition 47 modifies the definition of dangerousness in Proposition 36, and whether the decision applies retroactively.

6. Amendment of the pleadings and retrial of the petitioner

As indicated in section 1170.126(i), the petitioner may waive his or her appearance for the resentencing, "provided that the accusatory pleading is not amended at the resentencing, and that no new trial or retrial of the individual will occur." That quoted phrase is the only time Proposition 36 mentions the possibility the petitioner may face amended charges and a retrial because of the request for resentencing. There is no risk of reinstating charges for a defendant convicted after a jury trial. Principles of double jeopardy would bar the retrial of any aspect of the case. There may be a risk, however, for petitioners who were sentenced as a result of a plea bargain. It is common for the prosecution to dismiss certain felony charges or enhancements if the defendant admits to a charge that will be sentenced as a third strike. If the case comes back for a resentencing as a second strike offense, the prosecution may argue it has been denied the benefits of the previous bargain such that all dismissed charges and allegations should be put back into play.

People v. Collins (1978) 21 Cal.3d 208 is instructive. There, the defendant entered into a plea bargain wherein he was allowed to plead to one count and 14 other counts were dismissed. Between the time of the plea and sentencing, the Legislature eliminated the crime defendant admitted. After determining the conviction must be reversed, the Supreme Court turned to the status of the 14 dismissed charges. “Critical to plea bargaining is the concept of reciprocal benefits. When either the prosecution or the defendant is deprived of benefits for which it has bargained, corresponding relief will lie from concessions made. Thus, we held in *People v. Delles* (1968) 69 Cal.2d 906, 910, that a judgment contrary to the terms of a plea bargain may not be imposed without affording the defendant an opportunity to withdraw his guilty plea. (See also Pen. Code, § 1192.5; *People v. Johnson* (1974) 10 Cal.3d 868.) And we held in *In re Sutherland* (1972) 6 Cal.3d 666, 672, that when the defendant withdraws his guilty plea or otherwise succeeds in attacking it, counts dismissed pursuant to a plea bargain may be restored. (See also *People v. Kirkpatrick* (1972) 7 Cal.3d 480, 487; *In re Crumpton*

(1973) 9 Cal.3d 463, 469; *People v. Hill* (1974) 12 Cal.3d 731, 769." (*Collins*, at pp. 214-215.) The court thereafter permitted a limited refilling of some of the charges, but in a manner not to permit a term longer than the provided in the original plea agreement. (*Id.* at pp. 216-217.) *Collins* is consistent with the restriction in section 1170.126(h) which prohibits the imposition of a term longer than the original sentence. In this context it should be noted that an indeterminate sentence is longer than any determinate sentence.

A prosecutor may wish to make a new plea offer to an inmate using previously dismissed charges or enhancements. Whether a prosecutor chooses to seek reinstatement of previous charges or enhancements obviously will depend on whether the People can retry all of the charges if the petitioner does not accept a new plea agreement. Whether a retrial can occur also may depend on the petitioner's ability to defend against the charges. (See, e.g., *Barker v. Wingo* (1972) 407 U.S. 514.)

D. Order of the Court on Resentencing

1. If resentencing is granted

If the court grants the resentencing, the court should state the full new sentence to be served, together any statement of reasons supporting any sentencing choices. A proposed form of order is in Appendix G. The court is free to select any term on the triad for crimes sentenced under the Determinate Sentencing Law. The sentence should be a standard second strike sentence, taking into account all crimes of which the defendant is convicted, any applicable conduct and status enhancements, and any special rules regarding consecutive and concurrent sentencing. In no event may the defendant be resentenced to a term longer than the original sentence. (§ 1170.126(h).) In comparing the length of the new sentence to the old, the court should remember the minimum 25-year term of the original sentence, an indeterminate life sentence, is always longer than a determinate sentence.

In determining the new sentence, the trial court may consider all charges properly before the court, even enhancements previously stricken. In *People v. Garner* (2016) 244 Cal.App.4th 1113, the defendant received a 25-life third strike sentence, but the original sentencing judge struck the punishment for three prior prison terms. On resentencing of the defendant under Proposition 36, the court imposed a second strike sentence on the defendant, and added one year for each of the prior prison terms. The appellate court affirmed. "When a sentence is subject to 'recall' under section 1170, subdivision (d), the entire sentence may be reconsidered. A case so holding reasoned that this was true because: 'When a case is remanded for resentencing by an appellate court, the trial court is entitled to consider the entire sentencing scheme. Not limited to merely striking illegal

portions, the trial court may reconsider all sentencing choices. [Citations.] This rule is justified because an aggregate prison term is not a series of separate independent terms, but one term made up of interdependent components. The invalidity of one component infects the entire scheme.’ (People v. Hill (1986) 185 Cal.App.3d 831, 834, 230 Cal.Rptr. 109; see People v. Burbine (2003) 106 Cal.App.4th 1250, 1257–1258, 131 Cal.Rptr.2d 628.) ¶ Proposition 36, too, provides for a ‘recall of sentence’ upon a timely petition. (§ 1170.126, subd. (b).) We see no reason why a ‘recall’ of sentence under Proposition 36 should not be treated as akin to a ‘recall’ of sentence under section 1170, subdivision (d). Presumably, the voters were aware of the meaning of the term ‘recall’ as used in criminal sentencing, and of judicial decisions applying that term. (See, e.g., Estate of McDill (1975) 14 Cal.3d 831, 837–839, 122 Cal.Rptr. 754, 537 P.2d 874.) By filing his Proposition 36 petition, defendant expressed a desire to receive less than a life sentence, undermining the basis for the trial court’s prior exercise of lenity. He cannot do that and at the same time prevent the trial court from exercising discretion to reconsider all other aspects of the sentence.” (*Garner*, at p. 1118; footnote omitted.)

Aggravating and mitigating circumstances

In making the selection of the appropriate sentence from the triad for determinate crimes, the court likely will be able to consider any facts up to the point of resentencing, including facts related to the defendant’s time in prison. The court may obtain a supplemental probation report, but one is not required. (*People v. Franco* (2014) 232 Cal.App.4th 831.) Section 1170.126 gives no statutory direction regarding what the court may or may not consider. The existing statutory procedure most analogous to section 1170.126 is the recall of a sentence under section 1170(d). There, the court may use any evidence up to the point of the resentencing in setting the new term, even facts arising after the original sentencing. The issue was discussed by our Supreme Court in *Dix v. Superior Court* (1991) 53 Cal.3d 442. “[We cannot] accept the premise that section 1170(d) precludes consideration of circumstances which arose after the original sentencing. Section 1170(d) imposes no such express limitation on the court’s powers. On the contrary, the statute simply provides that the court may recall its original sentence within 120 days, or upon recommendation of the Board or the Director, and may resentence” as if [the defendant] had not previously been sentenced “ (Italics added.) The inference arises that the factors the court may consider are no more limited than if the resentencing were the original sentencing. ¶ This view comports with principles generally applicable to resentencing law. For example, it is well settled that when a case is remanded for resentencing after an appeal, the defendant is entitled to “all the normal rights and procedures available at his original sentencing” (*People v. Foley* (1985) 170 Cal.App.3d 1039, 1047; see also, e.g., *Van Velzer v. Superior Court* (1984) 152 Cal.App.3d 742, 744, including consideration of any pertinent circumstances

which have arisen since the prior sentence was imposed (e.g., *People v. Flores* (1988) 198 Cal.App.3d 1156, 1160-1162). (*Dix* at p. 460.) “In sum, we see no reason to conclude that section 1170(d), contrary to its terms, limits the reasons why a trial court may exercise its statutory authority to recall and resentence. We hold that section 1170(d) permits the sentencing court to recall a sentence for any reason which could influence sentencing generally, even if the reason arose after the original commitment. The court may thereafter consider any such reason in deciding upon a new sentence. After affording the victim his right to attend sentencing proceedings and express his or her views (§ 1191.1), the court may then impose any new sentence that would be permissible under the Determinate Sentencing Act if the resentence were the original sentence.” (*Dix* at p. 463; footnote omitted.)

It is important to observe that section 1170.126(g) mentions consideration of the inmate's post-sentencing conduct in connection with the determination of dangerousness. Thus, it also would be consistent with the new statute to use such information in fashioning a new sentence once the court determines resentencing is proper.

The ability of the court to resentence the inmate is limited. If the court determines resentencing is appropriate, section 1170.126(f) specifies the inmate “shall be resented pursuant to paragraph (1) of subdivision (e) of section 667 and paragraph (1) of subdivision (c) of section 1170.12. . . .” In other words, the inmate is to be resented as a second strike offender. This is not a situation where the inmate is procedurally back to the time of the original sentencing where the court had the option to grant relief under section 1385 and place the defendant on probation. The plain language of the statute suggests the court is to resentence the inmate as a second strike offender using all of the elements of the original sentence, but without the ability to impose a 25-year to life sentence.

Recalculation of custody credits

The court should recalculate the custody credits as of the date of resentencing. The court is to calculate both the pre and post-sentence *actual time* credits; i.e., the actual time in the county jail prior to the original sentencing, the actual time in state prison, and the actual time the defendant serves in the county jail awaiting the resentencing. The court also should include the *pre-sentence conduct credits* earned under section 4019. Any post-sentence conduct credits are to be determined by the Department of Corrections and Rehabilitation under the provisions of sections 2932(c) and 2933(c). Even though the defendant has been returned to local custody because of the request for resentencing, he remains under the commitment to the Department of Corrections and Rehabilitation. (See

People v. Buckhalter (2001) 26 Cal.4th 20; *People v. Saibu* (2011) 191 Cal.App.4th 1005; *People v. Myers* (1999) 69 Cal.App.4th 305.)

New abstract of conviction

The court should direct the preparation of a new Abstract of Conviction. The petitioner thereafter should be remanded to the custody of the sheriff for return to CDCR on the amended abstract, to serve any remaining term and a period on parole or PRCS.

Transition services

In an effort to augment any transition services available to inmates granted relief under section 1170.126, the Legislature added section 667.2:

(a) The Legislature finds and declares that assisting offenders released pursuant to Proposition 36, adopted at the November 6, 2012, statewide general election, with their transition back into communities will increase the offenders' likelihood of successful reintegration.

(b) Subject to the availability of funding for and space in the programs and services, the Department of Corrections and Rehabilitation may provide programs and services, including, but not limited to, transitional housing, mental health, and substance abuse treatment to an offender who is released from the department's custody and satisfies both of the following conditions:

(1) The offender is released pursuant to any of the following provisions, as they were amended or added by Sections 2 to 6, inclusive, of Proposition 36, as adopted at the November 6, 2012, statewide general election:

- (A) Section 667.
- (B) Section 667.1.
- (C) Section 1170.12.
- (D) Section 1170.125.
- (E) Section 1170.126.

(2) The offender is not subject to either of the following:

- (A) Parole pursuant to Article 3 (commencing with Section 3040) of Chapter 8 of Title 1 of Part 3.

(B) Postrelease community supervision pursuant to Title 2.05 (commencing with Section 3450) of Part 3.

(c) (1) The Department of Corrections and Rehabilitation, in consultation with the Administrative Office of the Courts, shall establish a referral process for offenders described in subdivision (b) to participate in programs and receive services that the department has existing contracts to provide.

(2) The Administrative Office of the Courts shall inform courts of the availability of the programs and services described in this section.

If the sentence has been fully served

Proposition 36 does not directly address whether an inmate released because of resentencing must be placed on PRCS or parole. Certainly if there is remaining time to serve on a sentence, the inmate would be required to complete whatever period of parole or PRCS would otherwise apply. The greater question is the status of the inmate who has enough custody credits to satisfy any term ordered as a result of the resentencing, plus any required post-release supervision. That issue is addressed in *People v. Espinoza* (2014) 226 Cal.App.4th 635, at least as to persons who are required to serve a period on PRCS. *Espinoza* holds that section 3451(a) is unambiguous: "*Notwithstanding any other law and except for [designated persons], all persons released from prison on and after October 1, 2011, or, whose sentence has been deemed served pursuant to Section 2900.5 after serving a prison term for a felony shall, upon release from prison and for a period not exceeding three years immediately following release, be subject to community supervision provided by a county agency designated by each county's board of supervisors which is consistent with evidence-based practices, including, but not limited to, supervision policies, procedures, programs, and practices demonstrated by scientific research to reduce recidivism among individuals under postrelease supervision.*" (Emphasis added.) The court expressly rejected any application of *In re Sosa* (1980) 102 Cal.App.3d 1002, which holds that excess custody credits reduce any applicable *parole* period. *Espinoza* observed: "PRCS serves an important public interest to 'improve public safety outcomes' and facilitate 'successful reintegration back into society.' (§ 3450, subd. (a)(5); see *People v. Torres* (2013) 213 Cal.App.4th 1151, 1158.) Both the community and appellant will benefit from PRCS. The trial court said that the '[S]tate of California actually doesn't want Mr. Espinoza to return to custody. . . . To take so many years of incarceration and then fling the doors open and say, well, good luck, hope it all works out is likely to just result in a disaster.' We are hopeful that PRCS reduces the chance of disaster." (*Espinoza*, at pp. 641-642.) Generally in accord with *Espinoza* is *People v. Tubbs* (2014) 230 Cal.App.4th 578. *Tubbs* also holds that CDCR

is not the only agency with the authority to determine whether a discharged defendant should be placed on PRCS; the court also has such authority in the context of ruling on a request for resentencing under section 1170.126. (*Id.* at pp. 586-587.)

While not disagreeing with *Espinoza* and *Tubbs*, *People v. Superior Court (Rangel)*(2016) 243 Cal.App.4th 992, finds that refusal to apply excess credits to community supervision constitutes a denial of equal protection. “To summarize, the most recent conviction or convictions of all inmates subject to community supervision are relatively minor, and inmates resentenced under section 1170.126 have never been convicted of egregiously violent offenses; they have further been currently found not to present undue risk to the public. By contrast, inmates subject to parole all fall into one or more categories of serious and obvious risk. Yet the latter can use excess credits to reduce or wipe out parole supervision, while under the People’s approach inmates subject to community supervision cannot so use their excess credits. Even under the ‘rational basis’ test, the distinction drawn by the People is simply unreasonable.” (*Id.*, at p. 1001.)

If the inmate qualifies for immediate release on PRCS, the court should order the inmate returned to the custody of CDCR for setting of conditions of PRCS and immediate release.

Espinoza did not directly address persons released on parole after resentencing. According to the law prior to realignment, if a defendant served his entire prison term, plus the parole term, he was entitled to be released unconditionally. This rule comes from section 2009.5. Section 2009.5(a) provides that custody credits apply against the term of imprisonment: "In all felony and misdemeanor convictions, either by plea or by verdict, when the defendant has been in custody, including, but not limited to, any time spent in a jail, camp, work furlough facility, halfway house, rehabilitation facility, hospital, prison, juvenile detention facility, or similar residential institution, all days of custody of the defendant, including days served as a condition of probation in compliance with a court order, credited to the period of confinement pursuant to Section 4019, and days served in home detention pursuant to Section 1203.018, shall be credited upon his or her term of imprisonment, or credited to any fine, including, but not limited to, base fines, on a proportional basis, that may be imposed, at the rate of not less than thirty dollars (\$30) per day, or more, in the discretion of the court imposing the sentence. *If the total number of days in custody exceeds the number of days of the term of imprisonment to be imposed, the entire term of imprisonment shall be deemed to have been served.*" (Emphasis added.) Section 2009.5(c) specifies the “term of imprisonment” includes any parole period. Once the entire term of imprisonment is satisfied, the defendant was entitled to be released from any custody or supervision. (*In re Sosa* (1980) 102 Cal.App.3d 1002.)

Until the parole issue is resolved, when the defendant has fully served the prison term and any applicable period of parole, the court may wish to order the defendant released from custody, to report to the local state parole office within two business days. If the parole office determines there is a need for parole, it can raise the issue with the court. At least the defendant will not be in custody while the matter works its way through the courts.

2. If resentencing is denied

If the court denies the request for resentencing, the court should remand the defendant to the custody of the sheriff to redeliver him to CDCR under the original sentence. If the defendant has waived his appearance, a simple denial of the petition would be sufficient. In either case, no new Abstract of Conviction would be required. A form of order is suggested in Appendix G.

E. The Right to Counsel

A criminal defendant has a Sixth Amendment right to be represented by counsel at all critical stages of the proceedings in which his substantial rights are at stake. (*People v. Crayton* (2002) 28 Cal.4th 346, 362, citing *Mempa v. Rhay* (1967) 389 U.S. 128, 134.) Sentencing is a stage where a defendant has a right to counsel. (See *Clemensen v. Municipal Court* (1971) 18 Cal.App.3d 492, 499.)

1. Preparation of the petition and initial screening

The procedure under section 1170.126 may be considered comparable to a habeas proceeding where the petitioner's right to counsel does not attach until the court determines petitioner has made a *prima facie* case for relief and issues an order to show cause. (See *In re Clark* (1993) 5 Cal.4th 750, 779 ["[I]f a petition attacking the validity of a judgment states a *prima facie* case leading to issuance of an order to show cause, the appointment of counsel is demanded by due process concerns".]) Therefore, it does not appear the defendant is entitled to counsel for the initial preparation of the petition or in connection with its initial screening.

2. The qualification hearing

Since section 1170.126 allows an inmate serving a life term to seek "resentencing," it would appear the inmate has a right to counsel in the court proceeding. There are several aspects of section 1170.126 that seem to support such a conclusion.

First, the trial judge presented with a petition for resentencing must determine whether the inmate has satisfied the criteria specified in section 1170.126, and

also must exercise discretion in determining whether other factors outlined in the new law indicate that “resentencing the petitioner would pose an unreasonable risk of danger to public safety.” (§§1170.126(f) and (g); see also §1170(d) [stating the court may not resentence petitioner to a term longer than the original sentence].)

Second, section 1170.126 indicates “a resentencing hearing ordered” under the new law constitutes “a ‘post-conviction release proceeding’ under paragraph (7) of subdivision (b) of Section 28 of Article I of the California Constitution (Marsy’s Law).” (§1170.126(m).) Such a designation means any victim in the case has a right to notice of the hearing, be at the hearing, and present argument if a right of the victim is at issue.

Accordingly, because on a petition for resentencing (1) the court exercises its discretion in deciding whether to resentence the inmate, and (2) trial court makes such a decision at a scheduled hearing during which the victim and prosecutor may present argument against the inmate, it would appear the procedure is one where the inmate’s substantial rights are at stake and thus there is a right to counsel.

3. The resentencing

Unquestionably the petitioner has a right to the assistance of counsel for the actual resentencing stage of the proceedings. As noted above, sentencing is a stage where a defendant has a constitutional right to counsel. (See *Clemensen v. Municipal Court* (1971) 18 Cal.App.3d 492, 499.)

F. Successive Petitions

It is not clear whether the inmate has the ability to file successive petitions under section 1170.126. The answer may depend in part on the circumstances of the denial of the earlier petitions. If the petition was denied at the initial screening because of some technical deficiency, likely the inmate would have the ability to file a new petition to correct the deficiency. The more difficult question is whether the inmate could file a new petition after a denial on the merits of the application. If the resentencing proceedings are analogous to proceedings for a writ of habeas corpus, the answer may be governed by *In re Clark* (1993) 5 Cal.4th 750, 767-768: “It has long been the rule that absent a change in the applicable law or the facts, the court will not consider repeated applications for habeas corpus presenting claims previously rejected. (See *In re Terry* (1971) 4 Cal.3d 911, 921, fn. 1, 95 Cal.Rptr. 31, 484 P.2d 1375; *In re Horowitz* (1949) 33 Cal.2d 534, 546, 203 P.2d 513; *In re De La Roi* (1946) 28 Cal.2d 264, 275, 169 P.2d 363; *In re Miller* (1941) 17 Cal.2d 734, 735, 112 P.2d 10.) The court has also refused to consider newly presented grounds for relief which were known to the petitioner at the time of a prior collateral attack on the judgment. (See *In re Horowitz, supra*, 33 Cal.2d 534, 546–547, 203 P.2d 513;

In re Drew (1922) 188 Cal. 717, 722, 207 P. 249.) The rule was stated clearly in *In re Connor* [(1940)] 16 Cal.2d 701, 705, 108 P.2d 10: 'In this state a defendant is not permitted to try out his contentions piecemeal by successive proceedings attacking the validity of the judgment against him.' ¶ These procedural bars to habeas corpus relief have been termed 'discretionary,' however (see *In re Terry, supra*, 4 Cal.3d 911, 921. fn. 1, 95 Cal.Rptr. 31, 484 P.2d 1375; *In re Bevill* (1968) 68 Cal.2d 854, 863, fn. 9, 69 Cal.Rptr. 599, 442 P.2d 679), and have been described as a 'policy' of the court. (See *In re Horowitz, supra*, 33 Cal.2d 534, 546, 203 P.2d 513.) And, while *In re Horowitz, supra*, 33 Cal.2d 534, 203 P.2d 513, *In re Connor, supra*, 16 Cal.2d 701, 705, 108 P.2d 10, and *In re Drew, supra*, 188 Cal. 717, 207 P. 249, condemned piecemeal presentation of claims, none expressly noted the problem of belated presentation of claims that may not have been identified, but with due diligence should have been known to the petitioner and presented in an earlier petition. On occasion, the merits of successive petitions have been considered regardless of whether the claim was raised on appeal or in a prior petition, and without consideration of whether the claim could and should have been presented in a prior petition. (See *In re Walker* [(1974)] 10 Cal.3d 764, 112 Cal.Rptr. 177, 518 P.2d 1129; *In re Crumpton* (1973) 9 Cal.3d 463, 467, 106 Cal.Rptr. 770, 507 P.2d 74; *In re Terry, supra*, 4 Cal.3d 911, 95 Cal.Rptr. 31, 484 P.2d 1375; *In re Bevill, supra*, 68 Cal.2d 854, 69 Cal.Rptr. 599, 442 P.2d 679.)"

G. Appellate Review

Appellate courts were in conflict over the issue of the proper vehicle to review the summary denial of a petition for resentencing under Proposition 36. The primary issue was whether a summary denial is appealable or whether the aggrieved party must proceed by writ. The conflict has been resolved by the Supreme Court in *Teal v. Superior Court* (2014) 60 Cal.4th 595. The summary denial of a petition for resentencing under section 1170.126 is an appealable order under section 1237(b).

Standard of review

The denial of resentencing based on dangerousness is reviewed under a mixed standard. "The facts or evidence upon which the court's finding of unreasonable risk is based must be proven by the People by a preponderance of the evidence . . . and are themselves subject to our review for substantial evidence. If a factor (for example, that the petitioner recently committed a battery, is violent due to repeated instances of mutual combat, etc.) is not established by a preponderance of the evidence, it cannot form the basis for a finding of unreasonable risk. (See *People v. Cluff* (2001) 87 Cal.App.4th 991, 998 [trial court abuses its discretion when factual findings critical to decision find no support in record]; cf. *People v. Read* (1990) 221 Cal.App.3d 685, 689-691 [where trial court erroneously determined defendant was statutorily ineligible for probation, reviewing court was required to determine whether trial court gave sufficient other reasons, supported by facts of case, for probation denial].)" (*People v. Payne* (2014) 232

Cal.App.4th 579, 597; footnote omitted.) *Payne* has been granted review by the Supreme Court.

The decision by a trial court finding a defendant presents an unreasonable risk of danger to public safety, however, is reviewed under the “abuse of discretion” standard. “Defendant argues the trial court’s decision regarding dangerousness should be reviewed for substantial evidence. We disagree. The plain language of subdivisions (f) and (g) of section 1170.126 calls for an exercise of the sentencing court’s discretion. “ ‘Discretion is the power to make the decision, one way or the other.’ [Citation.]” (*People v. Carmony* (2004) 33 Cal.4th 367, 375, 14 Cal.Rptr.3d 880, 92 P.3d 369.) “Where, as here, a discretionary power is statutorily vested in the trial court, its exercise of that discretion ‘must not be disturbed on appeal except on a showing that the court exercised its discretion in an arbitrary, capricious or patently absurd manner that resulted in a manifest miscarriage of justice. [Citations.]’ [Citation.]” (*People v. Rodrigues* (1994) 8 Cal.4th 1060, 1124–1125, 36 Cal.Rptr.2d 235, 885 P.2d 1; see *People v. Williams* (1998) 17 Cal.4th 148, 162, 69 Cal.Rptr.2d 917, 948 P.2d 429 [abuse-of-discretion review asks whether ruling in question falls outside bounds of reason under applicable law and relevant facts].)” (*Payne*, at p. 591; footnote omitted.) *Payne* has been granted review by the Supreme Court. In accord with *Payne* is *People v. Myers* (2016) 245 Cal.App.4th 794.

If the prosecution disagrees with a trial court’s determination of eligibility for resentencing, the proper remedy is to pursue a writ of mandate in the appellate court. As observed in *People v. Valdez* (2016) ___ Cal.App.4th ___, ___ [2016 WL 1719082]: “As explained in *People v. Superior Court (Martinez)* (2014) 225 Cal.App.4th 979, if the Attorney General wished to challenge that eligibility finding in this court, the proper remedy was to file a petition for writ of mandate. (*Id.* at p. 988; *People v. Superior Court (Cervantes)* (2014) 225 Cal.App.4th 1007, 1011 [acknowledging prosecutor properly challenged the trial court’s eligibility determination by writ petition, prior to the resentencing hearing].) Such a writ petition constituted a plain, speedy and adequate remedy to challenge that ruling, and consequently the failure to pursue it constitutes a waiver of that challenge. (*People v. Fond* (1999) 71 Cal.App.4th 127, 133-134 [prosecution waived its right to challenge an allegedly inadequate sentence by failing to file its own appeal].)”

APPENDIX A: FULL TEXT OF PROPOSITION 36

This initiative measure is submitted to the people in accordance with the provisions of Section 8 of Article II of the California Constitution.

This initiative measure amends and adds sections to the Penal Code; therefore, existing provisions proposed to be deleted are printed in ~~strikeout type~~ and new provisions proposed to be added are printed in *italic type* to indicate that they are new.

PROPOSED LAW

THREE STRIKES REFORM ACT OF 2012

SECTION 1. Findings and Declarations:

The People enact the Three Strikes Reform Act of 2012 to restore the original intent of California's Three Strikes law—imposing life sentences for dangerous criminals like rapists, murderers, and child molesters.

This act will:

- (1) Require that murderers, rapists, and child molesters serve their full sentences—they will receive life sentences, even if they are convicted of a new minor third strike crime.
- (2) Restore the Three Strikes law to the public's original understanding by requiring life sentences only when a defendant's current conviction is for a violent or serious crime.
- (3) Maintain that repeat offenders convicted of non-violent, non-serious crimes like shoplifting and simple drug possession will receive twice the normal sentence instead of a life sentence.
- (4) Save hundreds of millions of taxpayer dollars every year for at least 10 years. The state will no longer pay for housing or long-term health care for elderly, low-risk, non-violent inmates serving life sentences for minor crimes.
- (5) Prevent the early release of dangerous criminals who are currently being released early because jails and prisons are overcrowded with low-risk, non-violent inmates serving life sentences for petty crimes.

SECTION 2. Section 667 of the Penal Code is amended to read:

667. (a)

- (1) In compliance with subdivision (b) of Section 1385, any person convicted of a serious felony who previously has been convicted of a serious felony in this state or of any offense committed in another jurisdiction which includes all of the elements of any serious felony, shall receive, in addition to the sentence imposed by the court for the present offense, a five-year enhancement for each such prior conviction on charges brought and tried separately. The terms of the present offense and each enhancement shall run consecutively.

(2) This subdivision shall not be applied when the punishment imposed under other provisions of law would result in a longer term of imprisonment. There is no requirement of prior incarceration or commitment for this subdivision to apply.

(3) The Legislature may increase the length of the enhancement of sentence provided in this subdivision by a statute passed by majority vote of each house thereof.

(4) As used in this subdivision, “serious felony” means a serious felony listed in subdivision (c) of Section 1192.7.

(5) This subdivision shall not apply to a person convicted of selling, furnishing, administering, or giving, or offering to sell, furnish, administer, or give to a minor any methamphetamine-related drug or any precursors of methamphetamine unless the prior conviction was for a serious felony described in subparagraph (24) of subdivision (c) of Section 1192.7.

(b) It is the intent of the Legislature in enacting subdivisions (b) to (i), inclusive, to ensure longer prison sentences and greater punishment for those who commit a felony and have been previously convicted of *one or more* serious and/or violent felony offenses.

(c) Notwithstanding any other law, if a defendant has been convicted of a felony and it has been pled and proved that the defendant has one or more prior *serious and/or violent* felony convictions as defined in subdivision (d), the court shall adhere to each of the following:

(1) There shall not be an aggregate term limitation for purposes of consecutive sentencing for any subsequent felony conviction.

(2) Probation for the current offense shall not be granted, nor shall execution or imposition of the sentence be suspended for any prior offense.

(3) The length of time between the prior *serious and/or violent* felony conviction and the current felony conviction shall not affect the imposition of sentence.

(4) There shall not be a commitment to any other facility other than the state prison. Diversion shall not be granted nor shall the defendant be eligible for commitment to the California Rehabilitation Center as provided in Article 2 (commencing with Section 3050) of Chapter 1 of Division 3 of the Welfare and Institutions Code.

(5) The total amount of credits awarded pursuant to Article 2.5 (commencing with Section 2930) of Chapter 7 of Title 1 of Part 3 shall not exceed one-fifth of the total

term of imprisonment imposed and shall not accrue until the defendant is physically placed in the state prison.

(6) If there is a current conviction for more than one felony count not committed on the same occasion, and not arising from the same set of operative facts, the court shall sentence the defendant consecutively on each count pursuant to subdivision (e).

(7) If there is a current conviction for more than one serious or violent felony as described in paragraph (6), the court shall impose the sentence for each conviction consecutive to the sentence for any other conviction for which the defendant may be consecutively sentenced in the manner prescribed by law.

(8) Any sentence imposed pursuant to subdivision (e) will be imposed consecutive to any other sentence which the defendant is already serving, unless otherwise provided by law.

(d) Notwithstanding any other law and for the purposes of subdivisions (b) to (i), inclusive, a prior conviction of a *serious and/or violent* felony shall be defined as:

(1) Any offense defined in subdivision (c) of Section 667.5 as a violent felony or any offense defined in subdivision (c) of Section 1192.7 as a serious felony in this state. The determination of whether a prior conviction is a prior felony conviction for purposes of subdivisions (b) to (i), inclusive, shall be made upon the date of that prior conviction and is not affected by the sentence imposed unless the sentence automatically, upon the initial sentencing, converts the felony to a misdemeanor. None of the following dispositions shall affect the determination that a prior conviction is a prior felony for purposes of subdivisions (b) to (i), inclusive:

(A) The suspension of imposition of judgment or sentence.

(B) The stay of execution of sentence.

(C) The commitment to the State Department of Health Services as a mentally disordered sex offender following a conviction of a felony.

(D) The commitment to the California Rehabilitation Center or any other facility whose function is rehabilitative diversion from the state prison.

(2) A *prior* conviction in another jurisdiction for an offense that, if committed in California, is punishable by imprisonment in the state prison. ~~A shall constitute a prior conviction of a particular *serious and/or violent* felony shall include a~~ if the *prior* conviction in ~~another~~ *the other* jurisdiction is for an offense that includes all

of the elements of ~~the~~ a particular *violent* felony as defined in subdivision (c) of Section 667.5 or *serious felony as defined in* subdivision (c) of Section 1192.7.

(3) A prior juvenile adjudication shall constitute a prior *serious and/or violent* felony conviction for purposes of sentence enhancement if:

(A) The juvenile was 16 years of age or older at the time he or she committed the prior offense.

(B) The prior offense is listed in subdivision (b) of Section 707 of the Welfare and Institutions Code or described in paragraph (1) or (2) as a *serious and/or violent* felony.

(C) The juvenile was found to be a fit and proper subject to be dealt with under the juvenile court law.

(D) The juvenile was adjudged a ward of the juvenile court within the meaning of Section 602 of the Welfare and Institutions Code because the person committed an offense listed in subdivision (b) of Section 707 of the Welfare and Institutions Code.

(e) For purposes of subdivisions (b) to (i), inclusive, and in addition to any other enhancement or punishment provisions which may apply, the following shall apply where a defendant has ~~a one or more~~ prior *serious and/or violent* felony ~~conviction~~ convictions:

(1) If a defendant has one prior *serious and/or violent* felony conviction *as defined in subdivision (d)* that has been pled and proved, the determinate term or minimum term for an indeterminate term shall be twice the term otherwise provided as punishment for the current felony conviction.

(2) **(A)** ~~Except as provided in subparagraph (C),~~ if a defendant has two or more prior *serious and/or violent* felony convictions as defined in subdivision (d) that have been pled and proved, the term for the current felony conviction shall be an indeterminate term of life imprisonment with a minimum term of the indeterminate sentence calculated as the ~~greater~~ *greatest* of:

(i) Three times the term otherwise provided as punishment for each current felony conviction subsequent to the two or more prior *serious and/or violent* felony convictions.

(ii) Imprisonment in the state prison for 25 years.

(iii) The term determined by the court pursuant to Section 1170 for the underlying conviction, including any enhancement applicable under Chapter 4.5 (commencing with Section 1170) of Title 7 of Part 2, or any period prescribed by Section 190 or 3046.

(B) The indeterminate term described in subparagraph (A) shall be served consecutive to any other term of imprisonment for which a consecutive term may be imposed by law. Any other term imposed subsequent to any indeterminate term described in subparagraph (A) shall not be merged therein but shall commence at the time the person would otherwise have been released from prison.

(C) *If a defendant has two or more prior serious and/or violent felony convictions as defined in subdivision (c) of Section 667.5 or subdivision (c) of Section 1192.7 that have been pled and proved, and the current offense is not a serious or violent felony as defined in subdivision (d), the defendant shall be sentenced pursuant to paragraph (1) of subdivision (e) unless the prosecution pleads and proves any of the following:*

(i) *The current offense is a controlled substance charge, in which an allegation under Section 11370.4 or 11379.8 of the Health and Safety Code was admitted or found true.*

(ii) *The current offense is a felony sex offense, defined in subdivision (d) of Section 261.5 or Section 262, or any felony offense that results in mandatory registration as a sex offender pursuant to subdivision (c) of Section 290 except for violations of Sections 266 and 285, paragraph (1) of subdivision (b) and subdivision (e) of Section 286, paragraph (1) of subdivision (b) and subdivision (e) of Section 288a, Section 311.11, and Section 314.*

(iii) *During the commission of the current offense, the defendant used a firearm, was armed with a firearm or deadly weapon, or intended to cause great bodily injury to another person.*

(iv) *The defendant suffered a prior serious and/or violent felony conviction, as defined in subdivision (d) of this section, for any of the following felonies:*

(I) *A “sexually violent offense” as defined in subdivision (b) of Section 6600 of the Welfare and Institutions Code.*

(II) *Oral copulation with a child who is under 14 years of age, and who is more than 10 years younger than he or she as*

defined by Section 288a, sodomy with another person who is under 14 years of age and more than 10 years younger than he or she as defined by Section 286, or sexual penetration with another person who is under 14 years of age, and who is more than 10 years younger than he or she, as defined by Section 289.

(III) *A lewd or lascivious act involving a child under 14 years of age, in violation of Section 288.*

(IV) *Any homicide offense, including any attempted homicide offense, defined in Sections 187 to 191.5, inclusive.*

(V) *Solicitation to commit murder as defined in Section 653f.*

(VI) *Assault with a machine gun on a peace officer or firefighter, as defined in paragraph (3) of subdivision (d) of Section 245.*

(VII) *Possession of a weapon of mass destruction, as defined in paragraph (1) of subdivision (a) of Section 11418.*

(VIII) *Any serious and/or violent felony offense punishable in California by life imprisonment or death.*

(f) **(1)** *Notwithstanding any other law, subdivisions (b) to (i), inclusive, shall be applied in every case in which a defendant has ~~a one or more~~ prior serious and/or violent felony conviction—convictions as defined in subdivision (d). The prosecuting attorney shall plead and prove each prior serious and/or violent felony conviction except as provided in paragraph (2).*

(2) *The prosecuting attorney may move to dismiss or strike a prior serious and/or violent felony conviction allegation in the furtherance of justice pursuant to Section 1385, or if there is insufficient evidence to prove the prior serious and/or violent felony conviction. If upon the satisfaction of the court that there is insufficient evidence to prove the prior serious and/or violent felony conviction, the court may dismiss or strike the allegation. Nothing in this section shall be read to alter a court's authority under Section 1385.*

(g) *Prior serious and/or violent felony convictions shall not be used in plea bargaining as defined in subdivision (b) of Section 1192.7. The prosecution shall plead and prove all known prior felony serious and/or violent convictions and shall not enter into any agreement to strike or seek the dismissal of any prior serious and/or violent felony conviction allegation except as provided in paragraph (2) of subdivision (f).*

(h) All references to existing statutes in subdivisions (c) to (g), inclusive, are to statutes as they existed on ~~June 30, 1993~~ *November 7, 2012*.

(i) If any provision of subdivisions (b) to (h), inclusive, or the application thereof to any person or circumstance is held invalid, that invalidity shall not affect other provisions or applications of those subdivisions which can be given effect without the invalid provision or application, and to this end the provisions of those subdivisions are severable.

(j) The provisions of this section shall not be amended by the Legislature except by statute passed in each house by rollcall vote entered in the journal, two-thirds of the membership concurring, or by a statute that becomes effective only when approved by the electors.

SECTION 3. Section 667.1 of the Penal Code is amended to read:

667.1. Notwithstanding subdivision (h) of Section 667, for all offenses committed on or after ~~the effective date of this act~~ *November 7, 2012*, all references to existing statutes in subdivisions (c) to (g), inclusive, of Section 667, are to those statutes as they existed on ~~the effective date of this act, including amendments made to those statutes by the act enacted during the 2005-06 Regular Session that amended this section~~ *November 7, 2012*.

SECTION 4. Section 1170.12 of the Penal Code is amended to read:

1170.12. ~~(a) Aggregate and consecutive terms for multiple convictions; Prior conviction as prior felony; Commitment and other enhancements or punishment.~~

(a) Notwithstanding any other provision of law, if a defendant has been convicted of a felony and it has been pled and proved that the defendant has one or more prior *serious and/or violent* felony convictions, as defined in subdivision (b), the court shall adhere to each of the following:

(1) There shall not be an aggregate term limitation for purposes of consecutive sentencing for any subsequent felony conviction.

(2) Probation for the current offense shall not be granted, nor shall execution or imposition of the sentence be suspended for any prior offense.

(3) The length of time between the prior *serious and/or violent* felony conviction and the current felony conviction shall not affect the imposition of sentence.

(4) There shall not be a commitment to any other facility other than the state prison. Diversion shall not be granted nor shall the defendant be eligible for commitment to the California Rehabilitation Center as provided in Article 2 (commencing with Section 3050) of Chapter 1 of Division 3 of the Welfare and Institutions Code.

(5) The total amount of credits awarded pursuant to Article 2.5 (commencing with Section 2930) of Chapter 7 of Title 1 of Part 3 shall not exceed one-fifth of the total term of imprisonment imposed and shall not accrue until the defendant is physically placed in the state prison.

(6) If there is a current conviction for more than one felony count not committed on the same occasion, and not arising from the same set of operative facts, the court shall sentence the defendant consecutively on each count pursuant to this section.

(7) If there is a current conviction for more than one serious or violent felony as described in ~~paragraph (6) of this subdivision (b)~~, the court shall impose the sentence for each conviction consecutive to the sentence for any other conviction for which the defendant may be consecutively sentenced in the manner prescribed by law.

~~(8) Any sentence imposed pursuant to this section will be imposed consecutive to any other sentence which the defendant is already serving, unless otherwise provided by law.~~

(b) Notwithstanding any other provision of law and for the purposes of this section, a prior *serious and/or violent* conviction of a felony shall be defined as:

(1) Any offense defined in subdivision (c) of Section 667.5 as a violent felony or any offense defined in subdivision (c) of Section 1192.7 as a serious felony in this state. The determination of whether a prior conviction is a prior *serious and/or violent* felony conviction for purposes of this section shall be made upon the date of that prior conviction and is not affected by the sentence imposed unless the sentence automatically, upon the initial sentencing, converts the felony to a misdemeanor. None of the following dispositions shall affect the determination that a prior *serious and/or violent* conviction is a ~~prior~~ *serious and/or violent* felony for purposes of this section:

(A) The suspension of imposition of judgment or sentence.

(B) The stay of execution of sentence.

(C) The commitment to the State Department of Health Services as a mentally disordered sex offender following a conviction of a felony.

(D) The commitment to the California Rehabilitation Center or any other facility whose function is rehabilitative diversion from the state prison.

(2) A *prior* conviction in another jurisdiction for an offense that, if committed in California, is punishable by imprisonment in the state prison ~~shall constitute a~~ prior conviction of a particular *serious and/or violent* felony ~~shall include a~~ ~~if the~~ ~~prior conviction in another~~ ~~the other~~ jurisdiction is for an offense that includes all of the elements of the particular *violent* felony as defined in subdivision (c) of Section 667.5 or *serious felony* as defined in subdivision (c) of Section 1192.7.

(3) A prior juvenile adjudication shall constitute a prior *serious and/or violent* felony conviction for *the* purposes of sentence enhancement if:

(A) The juvenile was sixteen years of age or older at the time he or she committed the prior offense, and

(B) The prior offense is

(i) listed in subdivision (b) of Section 707 of the Welfare and Institutions Code, or

(ii) listed in this subdivision as a *serious and/or violent* felony, and

(C) The juvenile was found to be a fit and proper subject to be dealt with under the juvenile court law, and

(D) The juvenile was adjudged a ward of the juvenile court within the meaning of Section 602 of the Welfare and Institutions Code because the person committed an offense listed in subdivision (b) of Section 707 of the Welfare and Institutions Code.

(c) For purposes of this section, and in addition to any other enhancements or punishment provisions which may apply, the following shall apply where a defendant has ~~a one or more prior serious and/or violent felony conviction~~ ~~convictions~~:

(1) If a defendant has one prior *serious and/or violent* felony conviction as defined in subdivision (b) that has been pled and proved, the determinate term or minimum term for an indeterminate term shall be twice the term otherwise provided as punishment for the current felony conviction.

(2) **(A)** ~~If~~ ~~Except as provided in subparagraph (C),~~ if a defendant has two or more prior *serious and/or violent* felony convictions, as defined in ~~paragraph (1) of~~ subdivision (b), that have been pled and proved, the term for the current felony conviction shall be an indeterminate term of life imprisonment with a minimum term of the indeterminate sentence calculated as the ~~greater~~ ~~greatest~~ of:

(i) three times the term otherwise provided as punishment for each current felony conviction subsequent to the two or more prior *serious and/or violent* felony convictions, or

(ii) twenty-five years or

(iii) the term determined by the court pursuant to Section 1170 for the underlying conviction, including any enhancement applicable under Chapter 4.5 (commencing with Section 1170) of Title 7 of Part 2, or any period prescribed by Section 190 or 3046.

(B) The indeterminate term described in subparagraph (A) of paragraph (2) of this subdivision shall be served consecutive to any other term of imprisonment for which a consecutive term may be imposed by law. Any other term imposed subsequent to any indeterminate term described in subparagraph (A) of paragraph (2) of this subdivision shall not be merged therein but shall commence at the time the person would otherwise have been released from prison.

(C) *If a defendant has two or more prior serious and/or violent felony convictions as defined in subdivision (c) of Section 667.5 or subdivision (c) of Section 1192.7 that have been pled and proved, and the current offense is not a felony described in paragraph (1) of subdivision (b) of this section, the defendant shall be sentenced pursuant to paragraph (1) of subdivision (c) of this section, unless the prosecution pleads and proves any of the following:*

(i) *The current offense is a controlled substance charge, in which an allegation under Section 11370.4 or 11379.8 of the Health and Safety Code was admitted or found true.*

(ii) *The current offense is a felony sex offense, defined in subdivision (d) of Section 261.5 or Section 262, or any felony offense that results in mandatory registration as a sex offender pursuant to subdivision (c) of Section 290 except for violations of Sections 266 and 285, paragraph (1) of subdivision (b) and subdivision (e) of Section 286, paragraph (1) of subdivision (b) and subdivision (e) of Section 288a, Section 314, and Section 311.11.*

(iii) *During the commission of the current offense, the defendant used a firearm, was armed with a firearm or deadly weapon, or intended to cause great bodily injury to another person.*

(iv) *The defendant suffered a prior conviction, as defined in subdivision (b) of this section, for any of the following serious and/or violent felonies:*

(I) *A “sexually violent offense” as defined by subdivision (b) of Section 6600 of the Welfare and Institutions Code.*

(II) *Oral copulation with a child who is under 14 years of age, and who is more than 10 years younger than he or she as defined by Section 288a, sodomy with another person who is under 14 years of age and more than 10 years younger than he or she as defined by Section 286 or sexual penetration with another person who is under 14 years of age, and who is more than 10 years younger than he or she, as defined by Section 289.*

(III) *A lewd or lascivious act involving a child under 14 years of age, in violation of Section 288.*

(IV) *Any homicide offense, including any attempted homicide offense, defined in Sections 187 to 191.5, inclusive.*

(V) *Solicitation to commit murder as defined in Section 653f.*

(VI) *Assault with a machine gun on a peace officer or firefighter, as defined in paragraph (3) of subdivision (d) of Section 245.*

(VII) *Possession of a weapon of mass destruction, as defined in paragraph (1) of subdivision (a) of Section 11418.*

(VIII) *Any serious and/or violent felony offense punishable in California by life imprisonment or death.*

(d) **(1)** *Notwithstanding any other provision of law, this section shall be applied in every case in which a defendant has ~~a one or more~~ prior serious and/or violent felony conviction-convictions as defined in this section. The prosecuting attorney shall plead and prove each prior serious and/or violent felony conviction except as provided in paragraph (2).*

(2) *The prosecuting attorney may move to dismiss or strike a prior serious and/or violent felony conviction allegation in the furtherance of justice pursuant to Section 1385, or if there is insufficient evidence to prove the prior serious and/or violent conviction. If upon the satisfaction of the court that there is insufficient*

evidence to prove the prior *serious and/or violent* felony conviction, the court may dismiss or strike the allegation. *Nothing in this section shall be read to alter a court's authority under Section 1385.*

(e) Prior *serious and/or violent* felony convictions shall not be used in plea bargaining, as defined in subdivision (b) of Section 1192.7. The prosecution shall plead and prove all known prior *serious and/or violent* felony convictions and shall not enter into any agreement to strike or seek the dismissal of any prior *serious and/or violent* felony conviction allegation except as provided in paragraph (2) of subdivision (d).

(f) *If any provision of subdivisions (a) to (e), inclusive, or of Section 1170.126, or the application thereof to any person or circumstance is held invalid, that invalidity shall not affect other provisions or applications of those subdivisions which can be given effect without the invalid provision or application, and to this end the provisions of those subdivisions are severable.*

(g) *The provisions of this section shall not be amended by the Legislature except by statute passed in each house by rollcall vote entered in the journal, two-thirds of the membership concurring, or by a statute that becomes effective only when approved by the electors.*

SECTION 5. Section 1170.125 of the Penal Code is amended to read:

1170.125. Notwithstanding Section 2 of Proposition 184, as adopted at the November 8, 1994, ~~general election~~ *General Election*, for all offenses committed on or after ~~the effective date of this act~~ *November 7, 2012*, all references to existing statutes in ~~Section Sections~~ *Sections 1170.12 and 1170.126* are to those ~~statutes~~ *sections* as they existed on ~~the effective date of this act, including amendments made to those statutes by the act enacted during the 2005-06 Regular Session that amended this section~~ *November 7, 2012.*

SECTION 6. Section 1170.126 is added to the Penal Code, to read:

1170.126.

(a) *The resentencing provisions under this section and related statutes are intended to apply exclusively to persons presently serving an indeterminate term of imprisonment pursuant to paragraph (2) of subdivision (e) of Section 667 or paragraph (2) of subdivision (c) of Section 1170.12, whose sentence under this act would not have been an indeterminate life sentence.*

(b) *Any person serving an indeterminate term of life imprisonment imposed pursuant to paragraph (2) of subdivision (e) of Section 667 or paragraph (2) of subdivision (c) of Section*

1170.12 upon conviction, whether by trial or plea, of a felony or felonies that are not defined as serious and/or violent felonies by subdivision (c) of Section 667.5 or subdivision (c) of Section 1192.7, may file a petition for a recall of sentence, within two years after the effective date of the act that added this section or at a later date upon a showing of good cause, before the trial court that entered the judgment of conviction in his or her case, to request resentencing in accordance with the provisions of subdivision (e) of Section 667, and subdivision (c) of Section 1170.12, as those statutes have been amended by the act that added this section.

(c) *No person who is presently serving a term of imprisonment for a “second strike” conviction imposed pursuant to paragraph (1) of subdivision (e) of Section 667 or paragraph (1) of subdivision (c) of Section 1170.12, shall be eligible for resentencing under the provisions of this section.*

(d) *The petition for a recall of sentence described in subdivision (b) shall specify all of the currently charged felonies, which resulted in the sentence under paragraph (2) of subdivision (e) of Section 667 or paragraph (2) of subdivision (c) of Section 1170.12, or both, and shall also specify all of the prior convictions alleged and proved under subdivision (d) of Section 667 and subdivision (b) of Section 1170.12.*

(e) *An inmate is eligible for resentencing if:*

(1) *The inmate is serving an indeterminate term of life imprisonment imposed pursuant to paragraph (2) of subdivision (e) of Section 667 or subdivision (c) of Section 1170.12 for a conviction of a felony or felonies that are not defined as serious and/or violent felonies by subdivision (c) of Section 667.5 or subdivision (c) of Section 1192.7.*

(2) *The inmate’s current sentence was not imposed for any of the offenses appearing in clauses (i) to (iii), inclusive, of subparagraph (C) of paragraph (2) of subdivision (e) of Section 667 or clauses (i) to (iii), inclusive, of subparagraph (C) of paragraph (2) of subdivision (c) of Section 1170.12.*

(3) *The inmate has no prior convictions for any of the offenses appearing in clause (iv) of subparagraph (C) of paragraph (2) of subdivision (e) of Section 667 or clause (iv) of subparagraph (C) of paragraph (2) of subdivision (c) of Section 1170.12.*

(f) *Upon receiving a petition for recall of sentence under this section, the court shall determine whether the petitioner satisfies the criteria in subdivision (e). If the petitioner satisfies the criteria in subdivision (e), the petitioner shall be resentenced pursuant to paragraph (1) of subdivision (e) of Section 667 and paragraph (1) of subdivision (c) of Section 1170.12 unless the court, in its discretion, determines that resentencing the petitioner would pose an unreasonable risk of danger to public safety.*

(g) In exercising its discretion in subdivision (f), the court may consider:

(3) The petitioner’s criminal conviction history, including the type of crimes committed, the extent of injury to victims, the length of prior prison commitments, and the remoteness of the crimes;

(4) The petitioner’s disciplinary record and record of rehabilitation while incarcerated; and

(3) Any other evidence the court, within its discretion, determines to be relevant in deciding whether a new sentence would result in an unreasonable risk of danger to public safety.

(h) Under no circumstances may resentencing under this act result in the imposition of a term longer than the original sentence.

(i) Notwithstanding subdivision (b) of Section 977, a defendant petitioning for resentencing may waive his or her appearance in court for the resentencing, provided that the accusatory pleading is not amended at the resentencing, and that no new trial or retrial of the individual will occur. The waiver shall be in writing and signed by the defendant.

(j) If the court that originally sentenced the defendant is not available to resentence the defendant, the presiding judge shall designate another judge to rule on the defendant’s petition.

(k) Nothing in this section is intended to diminish or abrogate any rights or remedies otherwise available to the defendant.

(l) Nothing in this and related sections is intended to diminish or abrogate the finality of judgments in any case not falling within the purview of this act.

(m) A resentencing hearing ordered under this act shall constitute a “post-conviction release proceeding” under paragraph (7) of subdivision (b) of Section 28 of Article I of the California Constitution (Marsy’s Law).

SECTION 7. Liberal Construction:

This act is an exercise of the public power of the people of the State of California for the protection of the health, safety, and welfare of the people of the State of California, and shall be liberally construed to effectuate those purposes.

SECTION 8. Severability:

If any provision of this act, or the application thereof to any person or circumstance, is held invalid, that invalidity shall not affect any other provision or application of this act, which can be given effect without the invalid provision or application in order to effectuate the purposes of this act. To this end, the provisions of this act are severable.

SECTION. 9. Conflicting Measures:

If this measure is approved by the voters, but superseded by any other conflicting ballot measure approved by more voters at the same election, and the conflicting ballot measure is later held invalid, it is the intent of the voters that this act shall be given the full force of law.

SECTION. 10. Effective Date:

This act shall become effective on the first day after enactment by the voters.

SECTION 11. Amendment:

Except as otherwise provided in the text of the statutes, the provisions of this act shall not be altered or amended except by one of the following:

(a) By statute passed in each house of the Legislature, by rollcall entered in the journal, with two-thirds of the membership and the Governor concurring; or

(b) By statute passed in each house of the Legislature, by rollcall vote entered in the journal, with a majority of the membership concurring, to be placed on the next general ballot and approved by a majority of the electors;

or (c) By statute that becomes effective when approved by a majority of the electors.

APPENDIX B: RESOURCES AVAILABLE FROM CDCR

The following materials are available from the files maintained on an inmate by the California Department of Corrections and Rehabilitation (CDCR). Some of the records, particularly medical and psychiatric records of an inmate, will require the use of a subpoena to meet HIPPA requirements. It is anticipated that CDCR will be appointing a "Litigation Coordinator" in each prison to facilitate requests for information.

1. The petitioner's criminal conviction history including the type of crimes committed and the extent of injury to victims may consist of the following CDCR documents:
 - A. Probation officer's report
 - B. Arrest report
 - C. Charging documents
 - D. Transcripts of the proceeding
 - E. Institution staff recommendation summary

2. CDCR may provide the following documents regarding the length of prior prison commitments (§ 969b):
 - A. Cover letter
 - B. Abstract of Judgment
 - C. Minute order
 - D. CDC 112, chronological history
 - E. Finger print cards for all CDCR cases
 - F. Photograph
 - G. Obtain current/discharged case numbers
 - H. Certify all documents

3. The petitioner's disciplinary record and record of rehabilitation while incarcerated may consist of the following documents:
 - A. CDC 804, Notice of Pending CDC 115 (current)
 - B. CDC 115, Rules Violation Report with attached CDC 837, Incident Report.
 - C. DA referral and response associated with Rule Violation Report
 - D. Other incidents reports
 - E. CDC 128-A, Custodial Counseling Chrono
 - F. CDC 128-G, Classification Chrono regarding Security Housing Unit Term

- G. Other related forms and documents such as the following:
 - Institution Services Unit Investigation Reports
 - Drug Testing Lab Reports

- 4. The following documents may constitute a record of rehabilitation:
 - A. CDC 128-E, Education Chronos and all documents associated with education(*)
 - B. CDC 101, Work Report and all documents associated with work related issues
 - C. CDC 128-B related to volunteer work such as support groups/self help, etc.
 - D. CDC 128-B, General Chrono related to the following: Laudatory, Support Groups, Self Help, and training certificates
 - E. CDC 128-G MCC Chrono, Milestone Completion Credit
 - F. CDC 128-G Classification Chrono related to programming
- 5. Any other evidence the court within its discretion determines to be relevant in deciding whether a new sentence would result in an unreasonable risk of danger to public safety, such as the following documents:
 - A. CDC 128-B2, Gang Validation Chrono
 - B. Lifer Hearings Packets when applicable
 - C. CDC 7377, Sexual Violent Predator screening form
 - D. CDC 812, Notice of Critical Case Information
 - E. Out/In State Hold/Warrants/Detainers

Note: (*) The aforementioned documents are maintained in the inmate's central file with the exception of educational documents. The educational documents are generated by CDCR's Office of Correctional Education.

APPENDIX C: CDCR TABLE OF DEFENDANTS POTENTIALLY ELIGIBLE FOR RECONSIDERATION OF SENTENCE

CDCR Table of the Number of Third Strike Inmates Potentially Eligible for Re-sentencing as a Second Strike Offender

Data is as of October 17, 2012

County	Number	Percent
Alameda	9	0.3%
Amador	3	0.1%
Butte	9	0.3%
Contra Costa	7	0.2%
Colusa	1	0.0%
Del Norte	2	0.1%
El Dorado	5	0.2%
Fresno	55	1.9%
Glenn	1	0.0%
Humboldt	2	0.1%
Imperial	3	0.1%
Inyo	1	0.0%
Kern	176	6.2%
Kings	34	1.2%
Los Angeles	1,029	36.1%
Lake	5	0.2%
Madera	15	0.5%
Marin	19	0.7%
Mendocino	1	0.0%
Merced	13	0.5%
Monterey	7	0.2%
Napa	3	0.1%
Nevada	2	0.1%
Orange	151	5.3%
Placer	15	0.5%
Riverside	183	6.4%
Sacramento	150	5.3%
Santa Barbara	27	0.9%
San Bernardino	291	10.2%
San Benito	2	0.1%
Santa Clara	149	5.2%
Santa Cruz	2	0.1%
San Diego	243	8.5%

San Francisco	3	0.1%
Shasta	20	0.7%
Sierra	1	0.0%
Siskiyou	3	0.1%
San Joaquin	26	0.9%
San Luis Obispo	7	0.2%
San Mateo	20	0.7%
Solano	4	0.1%
Sonoma	7	0.2%
Stanislaus	50	1.8%
Sutter	3	0.1%
Tehama	11	0.4%
Tulare	42	1.5%
Tuolumne	2	0.1%
Ventura	17	0.6%
Yolo	8	0.3%
Yuba	9	0.3%
Total	2,848	100.0%

APPENDIX D: PROPOSED PETITION FOR RESENTENCING

IN THE SUPERIOR COURT OF CALIFORNIA
FOR THE COUNTY OF _____

IN THE MATTER OF THE PETITION OF

No.

_____,
Petitioner.

PETITION FOR RESENTENCING
(Pen. Code, § 1170.126)

TO THE ABOVE-ENTITLED COURT:

1. I am the petitioner in the above-entitled matter.

2. I am currently serving a term in state prison as a third strike offender of at least 25 years to life, based on the conviction of a non-serious and non-violent felony, in criminal proceedings in _____ County, in case number(s) _____. **[Use a separate petition for each county where you received a 25-life sentence as a third strike offender. If you had multiple cases in the county, list all cases.]**

3. I am currently serving a term in state prison of at least 25 years to life because I was convicted of and sentenced on the following crimes: **[List each crime for which you received a sentence of at least 25 years to life as a third strike offender. List the code section (for example: "PC 487"), and the name of the crime (for example: "grand theft")]**
 - a. Code section _____; name _____
 - b. Code section _____; name _____
 - c. Code section _____; name _____
 - d. Code section _____; name _____
 - e. Code section _____; name _____

4. List each prior strike that was alleged and proved (or admitted) in the case: **[List the code section (for example: "PC 211"), and the name of the crime (for example: "robbery")]**
 - a. Code section _____; name _____
 - b. Code section _____; name _____
 - c. Code section _____; name _____
 - d. Code section _____; name _____

e. Code section _____; name _____

f. Code section _____; name _____

5. My current mailing address is:

Name: _____

Address: _____

CDCR No. _____

I declare under penalty of perjury that the foregoing is true and correct.

Signed on the date indicated below at _____,
California.

Dated: _____

Petitioner

APPENDIX E: PROPOSED ORDER DENYING PETITION FOR RESENTENCING AFTER INITIAL SCREENING

IN THE MATTER OF THE PETITION OF

No.

_____,
Petitioner.

ORDER DENYING PETITION FOR
RESENTENCING (Pen. Code, §
1170.126)

The petitioner in the above-entitled action submitted a petition for resentencing pursuant to Penal Code section 1170.126. The court has reviewed the sufficiency of the petition in accordance with sections 1170.126(c), (d), and (e). GOOD CAUSE APPEARING, the petition is hereby denied for the following reason(s):

- 1. Petitioner is serving a term of imprisonment as a second strike offender. (Pen. Code § 1170.12(c).)
- 2. Petitioner has failed to include a statement of all currently charged felony convictions which resulted in a third strike sentence being imposed. (Pen. Code § 1170.126(d).) The petition is denied without prejudice to the filing of a new petition with the correct information.
- 3. Petitioner has failed to include a statement of all prior convictions alleged and proved as prior strikes. (Pen. Code § 1170.126(d).) The petition is denied without prejudice to the filing of a new petition with the correct information.
- 4. Petitioner's life sentence was based on a serious or violent felony.
- 5. Petitioner's sentence was imposed for an excluded crime listed in Penal Code sections 667(e)(2)(C)(i) or (ii), or Penal Code sections 1170.12(c)(2)(C)(i) or (ii). (Pen. Code § 1170.126(e)(1) and (2).)
- 6. Petitioner has previously been convicted of a crime listed in Penal Code sections 667(e)(2)(C)(iv) or 1170.12(c)(2)(C)(iv). (Pen. Code § 1170.126(e)(3).)
- 7. Other reason(s):

Dated: _____

Judge of the Superior Court

**APPENDIX F: PROPOSED WAIVER OF PERSONAL APPEARANCE BY
PETITIONER**

IN THE MATTER OF THE PETITION OF

No.

_____,
Petitioner

WAIVER OF PERSONAL APPEARANCE
FOR RESENTENCING (Pen. Code §
1170.126)

TO THE PETITIONER: After an initial review of your petition for resentencing under Penal Code section 1170.126, the court has determined that you may be eligible for the relief you request. The final decision on your case will not be made until the court conducts a hearing, giving you, your attorney, the district attorney, and any victim, an opportunity to present information to the court and comment on your request. To complete the hearing on this matter, the court needs to know whether you wish to personally appear in court in connection with your petition. **The right to personally attend court proceedings is an important legal right you have in a criminal case. Please read the following form carefully before answering the question.**

RIGHT OF PERSONAL APPEARANCE

You have the right to be personally present at any court hearing held in connection with your application for resentencing. You may give up this right and proceed on your petition without your personal presence. You should understand that the resentencing proceedings may take some time while the court and the attorneys gather information about your case. Please initial the proper box stating whether you want to personally appear or whether you would like to give up this right. If you do not answer the question, the court will assume you want to appear and will bring you to court. You may later change your decision to appear or not appear. You should understand that the court will require you to appear if the proceedings will involve the amendment of the original charging document or there will be a new trial or retrial.

- 1. I wish to appear at all court hearings in connection with my petition for resentencing.
- 2. I give up my right to appear at the court proceedings held in connection with my petition for resentencing.

Signed on the date indicated below at _____,
California.

Dated: _____
_____ Petitioner

APPENDIX G: PROPOSED ORDER RE HEARING ON REQUEST FOR RESENTENCING

IN THE MATTER OF THE PETITION OF

No.

_____,
Petitioner.

ORDER RE PETITION FOR
RESENTENCING (Pen. Code §
1170.126)

The above-entitled matter having come on for hearing on _____, both oral and documentary evidence having been presented, the matter having been argued by the parties, and the matter having been submitted to the court for decision, and after giving full consideration to the matters presented to the court, GOOD CAUSE APPEARING, the court hereby enters its decision as follows:

- 1. The petition for resentencing is denied. Petitioner is ordered to serve the sentence originally imposed by the court on _____.
- 2. The petition for resentencing is granted. Petitioner is ordered to serve the modified sentence as more fully set forth in the record of these proceedings.
- 3. The court having determined petitioner has served the amended sentence ordered by this court, petitioner is hereby discharged from custody and is directed to report within two business days to the local state parole office for final processing of this case. If state parole determines petitioner should serve a period of Post-release Community Supervision (PRCS), petitioner shall report to the probation officer of this county as directed by the parole officer.
- 4. Petitioner having been personally present for these proceedings, petitioner is hereby remanded to the custody of the sheriff of this county for delivery to the Department of Corrections and Rehabilitation on the original sentence ordered by the court; on the amended sentence ordered by the court.
- 5. Other orders:

Dated: _____
Judge of the Superior Court

APPENDIX H: TABLE OF CRIMES THAT WILL QUALIFY FOR THIRD STRIKE SENTENCING

[Table created by Hon. John “Jack” Ryan, Orange County Superior Court (Ret.)]

If the current offense is not a serious or violent felony (SF; VF) or other designated offense, or allegation, (667(e)(2)(C)/1170.12(c)) the defendant shall be sentenced as if he or she had only one prior serious or violent felony conviction. Three strike sentencing will apply when any of the following has been pled and proved.

<i>Offense</i>	<i>Description</i>	<i>Authority</i>
Any felony	Punishable by death or life imprisonment	SF; VF
Any felony	<i>Personal</i> use of a firearm. 12022.3(a) 12022.5 12022.53 12022.55	SF; VF; 667(e)(2)(C)(iii); 1170.12(c)(2)(C)(iii)
Any felony	<i>Personal</i> use of a deadly weapon. 12022(b)	SF; 667(e)(2)(C)(iii); 1170.12(c)(2)(C)(iii)
Any felony	<i>Personal</i> infliction of GBI, on a non-accomplice 12022.7 12022.8 12022.9	SF; VF
Any felony	<i>Personally</i> armed with a firearm. 12022(a)(1), (c) 12022.3(b) <i>Personally</i> armed with a deadly weapon. 12022.3(b) <i>Personally</i> intended to cause great bodily injury.	667(e)(2)(C)(iii); 1170.12(c)(2)(C)(iii)
Any attempt	To commit a serious felony, except an assault.	SF
Any felony	Gang crime enhancement, 186.22(b)	SF
Any felony with a prior conviction for a serious or violent felony punishable in California by life imprisonment or death.		667(e)(2)(C)(iv)(VIII); 1170.12(c)(2)(C)(iv)(VIII))
Any felony with a prior serious or violent felony conviction for:		
	187, Murder, or attempt 191.5, Vehicular manslaughter while intoxicated, or attempt.	667(e)(2)(C)(iv)(IV); 1170.12(c)(2)(C)(iv)(IV)
	207, [kidnap to ... §261, 262, 264.1, 286, 288, 288a, or	667(e)(2)(C)(iv)(I); 1170.12(c)(2)(C)(iv)(I)

<i>Offense</i>	<i>Description</i>	<i>Authority</i>
	289.]*	
	209, kidnap to violate §261, 262, 264.1, 286, 288, 288a, or 289.	
	220, assault to violate 261, 262*, 264.1, 286, 288, 288a, or 289.	
	261(a)(2), (6), Rape by force, threat to retaliate.	
	262(a)(2), (4), Spousal rape by force, threat to retaliate.	... (iv)(II)
	264.1, Rape in concert by force or violence	
	269, Aggravated sexual assault of a child.	667(e)(2)(C)(iv)(I); 1170.12(c)(2)(C)(iv)(I)
	286(c)(1), sodomy with child <14 + 10 years age differential.	
	286(c)(2)(A), Sodomy by force.	
	286(c)(2)(B), Sodomy by force upon child <14	
	286(c)(2)(C), Sodomy by force upon child >14	
	286(c)(3), Sodomy with threat to retaliate.	... (iv)(III)
	286(d)(1)), Sodomy in concert by force...., threat to retaliate.	667(e)(2)(C)(iv)(I); 1170.12(c)(2)(C)(iv)(I)
	286(d)(2), Sodomy in concert by force upon child <14	
	286(d)(3), Sodomy in concert by force upon child >14	... (iv)(II)
	288(a), Lewd act upon a child under the age of 14	
	288(b)(1), Lewd act upon a child by force...	667(e)(2)(C)(iv)(I); 1170.12(c)(2)(C)(iv)(I)
	288(b)(2), Lewd act by caretaker by force...	
	288a(c)(1), Oral copulation upon a child <14 + 10 years...	
	288a(c)(2)(A), Oral copulation by force...	
	288a(c)(2)(B), Oral copulation by force... force upon child <14.	
	288a(c)(2)(C), Oral copulation by force... force upon child >14.	... (iv)(II)
	288a(d), Oral copulation in concert by force.	
	288.5(a), Continuous sexual abuse of a child with force...	... (iv)(VI)
	289(a)(1)(A), (j), Sexual penetration by force, etc.	
	289(a)(1)(B), Sexual penetration upon a child <14 by force...	... (iv)(V)
	289(a)(1)(C), Sexual penetration upon a child >14 by force...	...(iv)(VII)
	289(a)(2)(C), Sexual penetration by threat to retaliate.	

<i>Offense</i>	<i>Description</i>	<i>Authority</i>
	289(j), sexual penetration upon a child <14 + 10 years... 245(d)(3) ,Assault with a machine gun on a peace officer or firefighter 653f, Solicitation to commit murder. 11418(a)(1), Possession of a weapon of mass destruction	
*	Kidnap, as defined in Pen C §207 does not include attempts to commit a defined sex offense. Pen C § 220 specifies <i>rape</i> as a designated offense. It does not use a section number, 261 (rape) or 262 (spousal rape).	
Penal Code		
136.1	Intimidation of victim or witness	SF
182(a) / Ser.Fel.	Conspiracy to violate a serious felony	SF
186.22(a)	Gang crime	SF
186.22(a)/136.1	Intimidating a victim or witness in violation of Pen C §186.22(a)	VF
187	Murder	VF
187 & 664	Murder in perpetration or attempt to 261/286/288/288(a)/289.	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
187 & 664	Murder; attempt murder	SF
191.5	Vehicular manslaughter while intoxicated. Pen C §1192.8(a).	SF
192(a)	Voluntary manslaughter. Pen C §1192.8(a).	SF; VF
192(c)(1)	Vehicular manslaughter. Pen C §1192.8(a).	SF
192.5(a)	Vehicular (<i>vessel</i>) manslaughter w/ gross negligence; Pen C §1192.8(a).	SF
192.5(b)	Vehicular (<i>vessel</i>) manslaughter w/out gross negligence; Pen C §1192.8(a).	SF
192.5(c)	Vehicular (<i>vessel</i>) manslaughter without gross negligence; Pen C §1192.8(a).	SF
203	Mayhem	SF; VF
205	Aggravated mayhem	SF; VF
206 (<i>as actor</i>)•	Torture (<i>Personal infliction of great bodily injury. GBI is an element</i>)	SF; VF
207	Kidnap to 261/286/288/288(a)/289/220 sex	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
207(b)	Kidnap to child molest	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)

<i>Offense</i>	<i>Description</i>	<i>Authority</i>
207-209.5	Any Kidnaping	SF; VF
208(d)	Kidnap to rape/oral cop./sodomy/foreign	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
209	Aggravated Kidnap to 261/286/288/288(a)/289/220	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
211	Robbery	SF; VF
215	Carjacking	SF; VF
217.1(b)	Attempted murder of a public official	VF
220	Assault to commit rape or robbery. <i>Robbery is not in 220</i>	SF
220	Assault to commit mayhem, rape, sodomy, oral copulation, or any violation of §264.1, 288, or 289.	VF; 667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
236.1(b), (c)	Human trafficking with intent to effect a sex crime; inducing a minor to engage in a commercial sex act. (See, Prop.35.)	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
243(d) ^{???}	Battery with the <i>personal</i> infliction of serious bodily injury.	SF
243.4	Sexual Battery ⁵	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
244	Throwing acid or flammable.	SF
245(a)(1) 245(a)(2) 245(a)(3) 245(a)(4)	Assault with a deadly weapon. Assault with a firearm. Assault with a machine gun; assault weapon. Assault with force likely to cause GBI (depending on facts)	667(e)(2)(C)(iii); 1170.12(c)(2)(C)(iii)
245(b)	Assault with a semiautomatic firearm.	
245(c); (d)	Any assault on a peace officer or firefighter	SF
245.2	Assault with a deadly weapon on public transit personnel	SF
245.2 <i>dw</i>	Assault with on transportation personnel . . .	SF
245.3 <i>dw</i> ;	Assault with on a custodial officer	SF
245.5(a-c)	Assault with a deadly weapon on a school employee	SF
246	Shooting at an inhabited dwelling, etc.	SF
246.3	<i>Personal</i> discharge of a firearm in a grossly negligent manner. <i>People v Leslie</i> (1996) 47 CA4th 198	SF
247(a), (b)	<i>Personally</i> shooting at an unoccupied plane; uninhabited dwelling house, etc.	SF
261	Rape. <i>Pen C §1192.7(c)(3) applies to all theories of rape.</i>	SF; 667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
261(a)(2); (a)(6),	Rape by force; threat to retaliate	VF
261.5(d)	Unlawful sexual intercourse with a minor <16, by a person 21 years or older.	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
262	Spousal rape	SF; 667(e)(2)(C)(ii);

<i>Offense</i>	<i>Description</i>	<i>Authority</i>
		1170.12(c)(2)(C)(ii)
262(a)(1); (a)(4)	Spousal rape by force...; threat to retaliate.	VF
264.1	Rape, spousal rape, sexual penetration in concert	SF; VF
264.1	Rape or 289(a) in concert	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
266c	inducing consent by fraud	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
266h(b)	Pimping, prostitute < 16	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
266i(b)	Pandering, prostitute < 16	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
266j	Procurement of child	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
267	Abducting a child for prostitution	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
269	Aggravated sexual assault of a child < 14	VF; 667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
272	Contributing...involving a lewd act	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
286	Sodomy, except for §§ 286(b)(1), 286(e)	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
286(c)(1), (c)(2)(A-D), (c)(3); (d)	Sodomy (age differential, force, etc., Victim <14 w/force, minor by force or fear, threat to retaliate; sodomy in concert.	VF
286(c)(2)	Sodomy by force or fear	SF
288	Child molest.	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
288(a), (b)	Any lewd act on a child under the age of 14.	SF
288(a), (b)	Any lewd act in (a) or (b)	VF
288.2(a)	Felony distribution of harmful matter/minor	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
288.2(b)	Felony distribution of harmful matter/minor by e-mail, etc.	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
288.3	Arranging meeting with a minor for a lewd act. etc.	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
288.5	Continuous sexual abuse	SF; VF; 667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
288.7(a), (b)	Unlawful intercourse, sodomy; oral copulation, sexual penetration	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
288a	Oral copulation, except for §§ 288a(b)(1), 288(e)	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)

<i>Offense</i>	<i>Description</i>	<i>Authority</i>
288a(c)(1)	Oral copulation upon a child <14. <i>P v, Murphy</i> (25 C4th 136.	SF
288a(c); (d)	Any oral copulation by force, fear, etc.,; in concert	VF
289	Sexual Penetration	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
289(a)(1)	Sexual penetration by force, fear, etc.	SF
289(a), (j)	Any sexual penetration defined in (a), (j),	VF
311.1	Material depicting a child in sexual conduct	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
311.10	Advertising obscene matter depicting minors	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
311.2(b),(c), (d)	Obscene matter/minors	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
311.3	Sexual exploitation/child	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
311.4	Use of minor in distribution of obscene matter	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
422	Criminal threats.	SF
4500	Assault by a life prisoner	SF
4501 <i>dw</i>	Assault with a deadly weapon by a prisoner (<i>n/a force likely...</i>)	SF
4503	Hostage by a prison inmate	SF
451	Any arson	SF
451(a); (b)	Arson causing gbi; inhabited structure	VF
451.5	Aggravated arson.	SF
452(a)	<i>Personally</i> causing a fire that caused great bodily injury	SF; VF
455 <i>arson</i>	Attempted arson. <i>People v Flores</i> (1995) 39 CA4th 1811	SF
459*	Any first degree burglary.	SF
459*, <i>occ.</i>	Any first degree burglary while occupied.	VF
487 (<i>firearm</i>)	Grand theft involving a firearm.	SF
518 / 186.22	Extortion in violation of 186.22.	VF
647(a), <i>former</i>	Loitering at toilet to solicit a lewd act	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
647.6	Child annoyance	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
653f(c)	Solicit another to commit forcible rape /288(a)(c) /264.1 /288 /289	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)
664 / 187	Attempted murder	SF; VF
664 / Sex	Attempt to commit a mandatory registerable sex offense	667(e)(2)(C)(ii); 1170.12(c)(2)(C)(ii)

<i>Offense</i>	<i>Description</i>	<i>Authority</i>
664 /serious felony	Any attempt to commit a serious felony, except assault	SF
11418(b), (c)	Terrorist activity, using weapon of mass destruction.	SF; VF
12034(c), (d)	Shooting from a vehicle. Renumbered (26100(b), (c)) 1-1-12	SF
12303.3	Exploding a destructive device with intent to injure person or property. Renumbered (18710) 1-1-12	SF
12308/18745	Exploding a destructive device with intent to murder	SF; VF
12309/18750	Exploding a destructive device causing bodily.	SF; VF
12310(a), (b) / 18755	Exploding a destructive device causing great bodily injury or mayhem	SF; VF
18710	Exploding a destructive device with intent to injure person or property. <i>People v Armstrong</i> (1992) 8 CA4th 1060	SF
18745	Exploding a destructive device with intent to murder	SF; VF
18750	Exploding a destructive device causing bodily injury.	SF; VF
18755	Exploding a destructive device causing great bodily injury or mayhem	SF; VF
26100(b), (c)	Shooting from a vehicle.	SF

Health and Safety Code

11351 / 11370.4	Possession for sale of a narcotic with an excessive quantity allegation or a conspiracy to ...	667(e)(2)(C)(i); 1170.12(c)(2)(C)(i)
11351.5 / 11370.4	Possession for sale of cocaine base with an excessive quantity allegation or a conspiracy to ...	667(e)(2)(C)(i); 1170.12(c)(2)(C)(i)
11352 / 11370.4	Sale, etc., of a narcotic with an excessive quantity allegation or a conspiracy to ...	667(e)(2)(C)(i); 1170.12(c)(2)(C)(i)
11353(c) / 11370.4	<i>Furnishing, etc.,</i> a minor w/heroin, cocaine base, or cocaine	SF
11378 / 11379.8	Possession for sale of a controlled substance with an excessive quantity allegation or a conspiracy to ...	667(e)(2)(C)(i); 1170.12(c)(2)(C)(i)
11378.5 / 11379.8	Possession for sale of a PCP with an excessive quantity allegation or a conspiracy to ...	667(e)(2)(C)(i); 1170.12(c)(2)(C)(i)
11379 / 11379.8	Sale, etc., of a controlled substance with an excessive quantity allegation or a conspiracy to ...	667(e)(2)(C)(i); 1170.12(c)(2)(C)(i)
11379.5 / 11379.8	Sale, etc., of PCP with an excessive quantity allegation or a conspiracy to ...	667(e)(2)(C)(i); 1170.12(c)(2)(C)(i)
11380	<i>Furnishing, etc.,</i> a minor w / PCP or methamphetamine or a precursor	SF

Vehicle Code		
2800.3	Evading an officer, intentionally <i>using the vehicle as a dw; or personally</i> causing serious bodily injury/death. (<i>People v Bow</i> (1993) 13 CA4th 1551, 1558; Pen C §1192.8(a)..) Serious injury is similar to GBI. see §243(d), (f)(5); <i>People v Moore</i> (1992) 10 CA4th 1868.)	SF
23104(b)	Reckless driving with <i>intentional use as dw or personally</i> causing GBI w/ prior. <i>People v Bow</i> (1993) 13 CA4th 1551; Pen C §1192.8(a)..	SF
23153	DUI, with <i>intentional use as dw or personally</i> causing GBI. See §1192.8(b-c); <i>Bow</i> ; Pen C §1192.8(a).	SF
Welfare & Institutions Code		
1768.8(b)	<i>Assault with personal use of a deadly weapon</i> by CYA inmate on non-inmate.	SF