

# JUDICIAL COUNCIL OF CALIFORNIA

455 Golden Gate Avenue . San Francisco, California 94102-3688

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## INVITATION TO COMMENT

### SPR20-11

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<b>Title</b>	<b>Action Requested</b>
Criminal Procedure: Felony Waiver and Plea Form	Review and submit comments by June 9, 2020
<b>Proposed Rules, Forms, Standards, or Statutes</b>	<b>Proposed Effective Date</b>
Revise form CR-101	January 1, 2021
<b>Proposed by</b>	<b>Contact</b>
Criminal Law Advisory Committee Hon. J. Richard Couzens, Chair	Sarah Fleischer-Ihn, 415-865-7702 <a href="mailto:Sarah.Fleischer-Ihn@jud.ca.gov">Sarah.Fleischer-Ihn@jud.ca.gov</a>

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### Executive Summary and Origin

The Criminal Law Advisory Committee proposes revisions to *Plea Form, With Explanations and Waiver of Rights—Felony* (form CR-101) to conform to multiple statutory changes that have added or changed relevant sentencing requirements and advisements.

### Background

The Judicial Council approved for optional use *Plea Form, With Explanations and Waiver of Rights—Felony* (form CR-101), effective January 1, 2007, to promote increased uniformity in felony plea waiver forms used throughout the state. The form was substantially revised in 2012 in response to criminal justice realignment legislation, and was most recently revised effective January 1, 2020. The form is designed to include all necessary waivers, a notice of the direct consequences of a plea, and common advisements. Several recent bills added or changed relevant sentencing requirements and information:

- Senate Bill 1210 (Stats. 2012, ch. 762) (see Link A) amended Penal Code section 1202.45 (see Link B) to include revocation restitution fines for postrelease community supervision and mandatory supervision. The prior version of the statute addressed parole and probation revocation restitution fines only.
- Former sections 3051 and 3201 of the Welfare and Institutions Code permitted the sentencing court to order, after making certain finding, the confinement of a defendant to a narcotic detention, treatment, and rehabilitation facility. Senate Bill 1021 (Stats. 2012,

*This proposal has not been approved by the Judicial Council and is not intended to represent the views of the council, its Rules Committee, or its Legislation Committee.  
It is circulated for comment purposes only.*

ch. 41) (see Link C) prohibited new confinements as of July 1, 2012, made these two statutes inoperative as of April 1, 2014, and repealed them as of January 1, 2015.

- Previously, the sentencing court was required to impose a one-year enhancement of a prison term for each prior separate prison term or county jail felony term, except under specified circumstances. Senate Bill 136 (Stats. 2019, ch. 590) (see Link D) amended Penal Code section 667.5(b) (see Link E) so that the additional one-year term is imposed solely for each prior separate prison term served for a conviction of a sexually violent offense.
- Former Health and Safety Code section 11590 required certain defendants to register as narcotics offenders with a local law enforcement agency. Assembly Bill 1261 (Stats. 2019, ch. 580) (see Link F) repealed this statute as of January 1, 2020.

The committee also recommends revising the form to avoid the use of gendered pronouns.

## **The Proposal**

The committee proposes the following revisions to form CR-101:

- Delete the advisement on narcotics addiction confinement (item 2d on page 2 of the current form);
- Revise the advisement on parole revocation and probation revocation restitution fines to include references to postrelease community supervision and mandatory supervision revocation restitution fines (item 2f on page 2 on the proposed form);
- Delete the reference to being sentenced to a narcotics treatment facility (item 3b on page 3 of the current form);
- Delete the option to require registration as a narcotics offender (item 3d(3) on page 3 of the current form);
- Revise the advisement on sentencing enhancements for prior prison terms or county jail sentences under Penal Code section 1170(h)(5) to state that a sentencing enhancement is imposed solely for each prior separate state prison term served for a conviction of a sexually violent offense (item 3g on page 3); and
- Revise the court's findings (items 1 and 4 on page 7) to avoid the use of gendered pronouns.

The revisions are proposed to delete outdated provisions, conform the form to statutory changes in sentencing, and avoid the use of gendered pronouns.

## **Alternatives Considered**

Given the recent revision of the form, the committee discussed postponing further revisions, but decided to move forward in order to delete outdated provisions and conform the form to statutory changes. The committee also discussed whether to amend the form based on the upcoming change in sex offender registration from lifetime to tiered based largely on the offense, under

Senate Bill 384 (Stats. 2017, ch. 541). After discussion, the committee decided that the existing advisement of lifetime registration was still appropriate since the registration requirement is not terminated as a matter of right, and instead requires the defendant-petitioner to initiate, and the court to grant, a request for termination

### **Fiscal and Operational Impacts**

As an optional form, expected costs are limited to training, possible case management system updates, and the production of new forms. No other implementation requirements or operational impacts are expected.

#### **Request for Specific Comments**

In addition to comments on the proposal as a whole, the advisory committee is interested in comments on the following:

- Does the proposal appropriately address the stated purpose?

The advisory committee also seeks comments from *courts* on the following cost and implementation matters:

- Would the proposal provide cost savings? If so, please quantify.
- What would the implementation requirements be for courts—for example, training staff (please identify position and expected hours of training), revising processes and procedures (please describe), changing docket codes in case management systems, or modifying case management systems?
- Would three months from Judicial Council approval of this proposal until its effective date provide sufficient time for implementation?
- How well would this proposal work in courts of different sizes?

### **Attachments and Links**

1. Form CR-101, at pages 5–11
2. Link A: Senate Bill 1210 (Stats. 2012, ch. 762),  
[http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill\\_id=201120120SB1210](http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201120120SB1210)
3. Link B: Penal Code section 1202.45,  
[http://leginfo.legislature.ca.gov/faces/codes\\_displaySection.xhtml?sectionNum=1202.45&lawCode=PEN](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?sectionNum=1202.45&lawCode=PEN)
4. Link C: Senate Bill 1021 (Stats. 2012, ch. 41),  
[http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill\\_id=201120120SB1021](http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201120120SB1021)
5. Link D: Senate Bill 136 (Stats. 2019, ch. 590),  
[http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill\\_id=201920200SB136](http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201920200SB136)

6. Link E: Penal Code section 667.5,  
[http://leginfo.legislature.ca.gov/faces/codes\\_displaySection.xhtml?sectionNum=667.5&lawCode=PEN](http://leginfo.legislature.ca.gov/faces/codes_displaySection.xhtml?sectionNum=667.5&lawCode=PEN)
7. Link F: Assembly Bill 1261 (Stats. 2019, ch. 580),  
[http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill\\_id=201920200AB1261](http://leginfo.legislature.ca.gov/faces/billNavClient.xhtml?bill_id=201920200AB1261)

<b>SUPERIOR COURT OF CALIFORNIA, COUNTY OF</b> STREET ADDRESS: MAILING ADDRESS: CITY AND ZIP CODE: BRANCH NAME:	FOR COURT USE ONLY  <div style="border: 2px solid black; padding: 10px; display: inline-block; background-color: yellow;"> <b>DRAFT</b>                      Not approved by                      the Judicial Council                 </div>
<b>PEOPLE OF THE STATE OF CALIFORNIA</b> v. Defendant:	
<b>PLEA FORM, WITH EXPLANATIONS AND WAIVER OF RIGHTS—FELONY</b>	CASE NUMBER:

- INSTRUCTIONS:**
- (1) Fill out this form only if you want to plead guilty or no contest.
  - (2) Read this form carefully. For each item, if you understand and agree with what you read, put your initials in the box to the right of the item. For any item that does not apply to you or that you do not understand, leave the box blank.
  - (3) On page 6, sign and date the form under "DEFENDANT'S STATEMENT."
  - (4) Keep in mind that the court cannot give legal advice. If you have any questions about anything in this form, ask your attorney.

1. **CHARGES AND MAXIMUM TERM.** I want to plead guilty or no contest ("nolo contendere") to the charges and allegations listed below. I understand that the minimum and maximum penalties for the charges to which I am pleading guilty or no contest are listed below. INITIALS

COUNT	CHARGES (SECTION & DESCRIPTION)	YEARS / MONTHS		PRIOR CONVICTIONS, ENHANCEMENTS, & SPECIAL ALLEGATIONS (SECTION & DESCRIPTION)	YEARS / MONTHS		TOTAL MAXIMUM TIME
		MINIMUM	MAXIMUM		MINIMUM	MAXIMUM	
<b>AGGREGATE MAXIMUM TIME OF IMPRISONMENT</b>							

2. **PLEA AGREEMENT.** I understand that I must tell the court on this form about any promises anyone has made to me about the sentence I will receive or the sentence recommendations that will be made to the court. My attorney, the court, or the prosecutor has explained to me that if I plead guilty or no contest to the charges and admit the allegations listed above, the court will sentence me as follows:

- a. Check one:  **State Prison** (or the Division of Juvenile Justice)     **County Jail** for INITIALS
- (1)  years and  months or
- (2)  Not less than  years and  months and/or not more than  years and  months.
- (3)  Other (*specify*):
- b. **Probation** for  years under conditions to be set by the court, including:
- days in the **county jail** or
- up to  days in the **county jail**.

I understand that a violation of any of the conditions of probation, including failure to complete a drug education or treatment program, if ordered by the court, may cause the court to send me to **county jail or state prison** for up to the "**Aggregate Maximum Time of Imprisonment**" specified in item 1, which may include a period of mandatory supervision under Penal Code section 1170(h)(5)(B) if the court sends me to county jail.

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2. c. **Split Sentence (1170(h)(5)(B)):** \_\_\_\_\_ years and \_\_\_\_\_ days in the county jail and \_\_\_\_\_ years and \_\_\_\_\_ days on mandatory supervision under conditions set by the court. I understand that if I violate any of the terms or conditions of mandatory supervision, I may be remanded into custody for the entire unserved portion of the sentence.

**d. Open Plea**

1.  I understand the maximum and minimum sentences for the charges and allegations stated on page 1. No one has made any other promises to me about what sentence the court may order.
2.  I understand that I am not eligible for probation.
3.  I understand that I will not be granted probation unless the court finds at the time of sentencing that this is an unusual case where the interests of justice would be best served by granting probation.

**e. Restitution, Statutory Fees, and Assessments**

I understand that the court will order me to pay the following amounts (if an amount is not yet known, "TBD" for "to be determined" is entered next to the \$); I must prepare financial disclosure statements to assist the court in determining my ability to pay; and refusal or failure to prepare the required financial disclosure statements may be used against me at sentencing:

1.  \$ \_\_\_\_\_ **to the Victim Restitution Fund**
2.  \$ \_\_\_\_\_ **restitution to actual victims**
3.  \$ \_\_\_\_\_ **restitution to the State of California, Victims of Crime Fund**
4.  \$ \_\_\_\_\_ **court operations assessment**
5.  \$ \_\_\_\_\_ **court facilities assessment**
6.  \$ \_\_\_\_\_ **base fine plus any applicable penalties, assessments, and surcharges**
7.  \$ \_\_\_\_\_ **other (specify):**
8.  \$ \_\_\_\_\_ **other (specify):**
9.  An (additional) amount to be determined by the court at sentencing or such other hearing as the court may set.

**f. Fines for Revocation of Parole, Postrelease Community Supervision, Mandatory Supervision, or Probation**

I understand that if I am sentenced to **state prison**, the court **will** impose a parole revocation fine or a postrelease community supervision revocation fine, which will be collected only if my parole or postrelease community supervision is later revoked. I also understand that if I am granted probation or mandatory supervision, the court **will** impose a probation revocation fine or mandatory supervision revocation fine, which will be collected only if my probation or mandatory supervision is later revoked.

**g. Dismissal of Other Counts**

I understand that as part of the plea agreement bargain, the following counts will be dismissed after sentencing:

I understand and agree that the sentencing judge may consider facts underlying dismissed counts to determine restitution and to sentence me on the counts to which I am entering a plea.

**h. Other Terms (specify):**

**3. CONSEQUENCES OF MY PLEA**

INITIALS

**a. No Contest ("Nolo Contendere") Plea**

I understand that a no contest plea is the same as pleading guilty and that if I plead no contest, I will be convicted and my no contest plea could be used against me in a civil case.

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**b. Parole and Postrelease Community Supervision**

I understand that if I am sentenced to **state prison**

- (1) I will be placed on parole or postrelease community supervision for up to \_\_\_\_\_ years after my release.
- (2) If I abscond or the court tolls my supervision, the total time of parole or postrelease community supervision can be extended.
- (3) If I violate any of the terms or conditions of my parole, I can be sentenced to county jail for up to 180 days for each violation, or returned to state prison for up to one year, up to a maximum of \_\_\_\_\_ years. If I violate any of the terms or conditions of postrelease community supervision, I can be sentenced to county jail for up to 180 days for each violation, for up to a maximum of 3 years.

**c. Effect of Conviction on Other Cases**

I understand that a conviction in this case may constitute a violation of any other current grant of parole, mandatory supervision, postrelease community supervision, or probation in any other case and that I may receive additional punishment as a result of that violation.

**d. Registration**

I understand that I will be required to register with the local police agency or sheriff's department in the city or county in which I reside as

- (1)  an arson offender                      (3)  a sex offender (this registration is a lifelong requirement)
- (2)  a gang member                              (4)  other (*specify*):

and that if I fail to register or to keep my registration current for any reason, new felony criminal charges may be filed against me.

**e. Prints and DNA Samples**

I understand that I must provide biological samples and prints for identification purposes—including buccal (mouth) swab samples, right thumb prints, palm prints of each hand, and blood specimens or other biological samples required by law—and that failure to do so constitutes a new criminal offense.

**f. Serious or Violent Felony**

- (1)  I understand that by pleading guilty or no contest to a serious or violent felony ("strike"), the penalty for any future felony conviction will be increased as a result of my conviction in this case, depending on the number of strikes I have, up to a mandatory prison sentence of double the term otherwise provided or a term of at least 25 years to life.
- (2)  I understand that if I am convicted of a violent felony, jail or prison conduct/work-time credit I may accrue will not exceed 15%.
- (3)  I understand that if I am admitting a prior strike conviction, prison work-time credit that I may accrue will not exceed 20% of the total term of imprisonment.
- (4)  I understand that if I am convicted of murder or a third felony conviction of certain offenses, I am ineligible to receive work-time credits. Count \_\_\_\_\_ is such an offense.

**g. Prior Prison Term for Sexually Violent Offense**

I understand that if I am sentenced to serve a state prison term for this sexually violent offense, as defined in Welfare and Institutions Code section 6600(b), the penalty for any future felony conviction may be increased as a result of my incarceration in this case.

**h. Driver's License and Vehicle Forfeiture**

I understand that my privilege to drive a motor vehicle may be revoked or suspended by the court or the California Department of Motor Vehicles, and my vehicle may be ordered forfeited if it was involved in the offense.



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6. **b. Questions** INITIALS  
 I have no further questions of the court or of my attorney with regard to my plea and admissions in this case, any of the rights, or anything else on this form.

c. **Stipulation to Commissioner**  
 I understand that I have the right to have a judge take my plea and sentence me. I give up this right and agree to have a commissioner, sitting as a temporary judge, take my plea and sentence me.

d. **Medications or Controlled Substances**  
 I am not taking any medication that affects my ability to understand this form and the consequences of my plea, have not recently consumed any alcohol or drugs, and am not suffering from any medical condition, except for the following:

e. **Court Approval of Plea Agreement**  
 I understand that the plea agreement in item 2 (on pages 1 and 2) is based on the facts before the court. I understand that if the court approves this plea agreement the approval of the court is not binding, and that the court may withdraw its approval of the plea agreement upon further consideration of the matter. I understand that if the court withdraws its approval of this plea agreement I will be allowed to withdraw my plea. (Pen. Code, § 1192.5.)

7. **STATUTORY RIGHT TO A PRELIMINARY HEARING**   
 I understand that before I have a trial, the law gives me the right to a speedy preliminary hearing at which the prosecution would produce evidence and the court must find reasonable cause to believe I committed the crimes with which I have been charged. I understand that I have all of the above constitutional rights at the preliminary hearing, except for the right to a jury trial.

**I give up my right to a preliminary hearing and the constitutional rights listed in item 5 (on page 4).**

8. **WAIVER OF CONSTITUTIONAL RIGHTS**   
**I give up, for each of the charges and allegations listed in item 1 (on page 1), my right to a jury trial, my right to a court trial, my right to confront and cross-examine witnesses, my right to remain silent and not to incriminate myself, and my right to produce evidence and to present a defense, including my right to testify on my own behalf. I understand that I am, in fact, incriminating myself with my plea.**

9. **THE PLEA**   
 I freely and voluntarily plead  GUILTY  NO CONTEST to the charges listed in item 1 (on page 1) and admit the allegations listed in item 1 (on page 1), understanding that this plea and admission will lead to the penalties listed in item 2 (on pages 1 and 2).

a. I offer my plea of guilty or no contest freely and voluntarily and with full understanding of everything in this form. No one has made any threats; used any force against me, my family, or my loved ones; or made any promises to me, except as listed in this form, in order to convince me to plead guilty or no contest.

b. **I understand that the court is required to find a factual basis for my plea to make sure that I am entering a plea to the proper offenses under the facts of the case.**

**I offer to the court the following as the basis for my plea of guilty or no contest and any admissions:**

(1) **I understand that the court may consider the following as proof of the factual basis for my plea:**

- (a)  Preliminary hearing transcript
- (b)  Police report
- (c)  Probation report
- (d)  Welfare investigator's declaration
- (e)  Court documents regarding any alleged prior offenses
- (f)  Other (*specify*):
- (g)  (Specify facts):

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9. b. (2) **I am pleading guilty or no contest to take advantage of a plea agreement (my attorney will stipulate to a factual basis for the plea).** (*People v. West* (1970) 3 Cal.3d 595.) INITIALS

**10. AFTER THE PLEA**

**a. Surrender**

I understand that the court is allowing me to surrender at a later date to begin serving time in custody.

I agree that if I fail to appear on the date set for surrender or sentencing without a legal excuse, my plea will become an "open plea" to the court, I will not be allowed to withdraw my plea, and I may be sentenced up to the maximum allowed by law.

**b. Sentencing Court**

I understand that I have the right to be sentenced by the same judge or commissioner who takes my plea.

I give up that right and agree that any judge or commissioner may sentence me.

**c. Sentencing Date**

I understand that I have the right to be sentenced within 20 court days. I give up that right and agree to be sentenced at a later date.

**11. MANDATORY WARNING**

I understand that if I am charged with violating Vehicle Code section 23103, as specified in Vehicle Code section 23103.5, or Vehicle Code sections 23152 or 23153, the following warning applies:

**You are hereby advised that being under the influence of alcohol or drugs, or both, impairs your ability to safely operate a motor vehicle. Therefore, it is extremely dangerous to human life to drive while under the influence of alcohol or drugs, or both. If you continue to drive while under the influence of alcohol or drugs, or both, and as a result of that driving someone is killed, you can be charged with murder.**

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**DEFENDANT'S STATEMENT**

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**I have read or have had read to me this form and have initialed each of the items that applies to my case. If I have an attorney, I have discussed each item with my attorney. By putting my initials next to the items in this form, I am indicating that I understand and agree with what is stated in each item that I have initialed. The nature of the charges, possible defenses, and effects of any prior convictions, enhancements, and special allegations have been explained to me. I understand each of the rights outlined above, and I give up each of them to enter my plea.**

\_\_\_\_\_  
(SIGNATURE OF DEFENDANT)

\_\_\_\_\_  
DATE

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**ATTORNEY'S STATEMENT**

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I am the attorney of record for the defendant. I have reviewed this form with my client. I have explained each of the items in the form, including the defendant's constitutional and statutory rights, to the defendant and have answered all of his or her questions with regard to those rights, the other items in this form, and the plea agreement. I have also discussed the facts of the case with the defendant and have explained the nature and elements of each charge; any possible defenses to the charges; the effect of any prior convictions, enhancements, and special allegations; and the consequences of the plea.

I concur in the plea and admissions and join in the waiver of the defendant's constitutional and statutory rights, and I hereby stipulate that there is a factual basis for the plea and refer the court to the  police report  preliminary hearing transcript  probation report  other (*specify*): \_\_\_\_\_ (*People v. West* (1970) 3 Cal.3d 595.)

\_\_\_\_\_  
(ATTORNEY'S SIGNATURE)

\_\_\_\_\_  
DATE

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**INTERPRETER'S STATEMENT**

I, having been duly sworn or having a written oath on file, certify that I truly translated this form to the defendant in the language noted below.

Language:  Spanish  Other (*specify*):

\_\_\_\_\_  
(INTERPRETER'S SIGNATURE)

\_\_\_\_\_  
DATE

\_\_\_\_\_  
(TYPE OR PRINT INTERPRETER'S NAME)

\_\_\_\_\_  
(CERTIFICATION NUMBER)

**DISTRICT ATTORNEY'S STATEMENT**

I have read this form and understand the terms of the plea agreement.

I  agree  do not agree with the terms of the plea agreement and the indicated sentence.

\_\_\_\_\_  
(ATTORNEY'S SIGNATURE)

\_\_\_\_\_  
DATE

**COURT'S FINDINGS AND ORDER**

The court, having reviewed this form (and any addenda), and having orally examined the defendant, finds as follows:

1. The initialed items in this form have been read to the defendant, and the defendant understands each of them.
2. The defendant understands the nature of the crimes and allegations listed in item 1 (on page 1) and the consequences of the plea and any admissions.
3. The defendant understands the constitutional and statutory rights associated with this plea and expressly, knowingly, and intelligently waives these rights.
4. The defendant's plea, admissions, and waiver of rights are made freely and voluntarily.
5. A factual basis exists for the plea and admissions, or the defendant is pleading pursuant to a plea bargain under *People v. West*.

The court accepts the defendant's plea, admissions, and waiver of rights, and the defendant is hereby convicted based thereon.

It is ordered that this document be filed with the court's records of this case and that the defendant's plea, admissions, and waiver of rights be accepted and entered in the minutes of this court.

\_\_\_\_\_  
(SIGNATURE OF JUDICIAL OFFICER)

\_\_\_\_\_  
DATE