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PROCEEDINGS BEFORE

THE SUPREME COURT
OF THE
UNITED STATES

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WASHINGTON, D.C. 20543

CAPTION: WASHINGTON, ET AL., Petitioners V. WALTER HARPER
CASE NO: 88-599
PLACE: WASHINGTON, D.C.
DATE: October 11, 1989
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IN THE SUPREME COURT OF THE UNITED STATES

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WASHINGTON, ET AL. :
Petitioners, :
v. : No. 88-599
WALTER HARPER :
-----X

Washington, D.C.
Wednesday, October 11, 1989

The above-entitled matter came on for oral argument before the Supreme Court of the United States at 12:59 p.m.

APPEARANCES:

WILLIAM L. WILLIAMS, ESQ., Senior Assistant General of Washington, Olympia, Washington; on behalf of Petitioners.

PAUL J. LARKIN, JR., Assistant to the Solicitor General Department of Justice, Washington, D.C.; as amicus curiae, supporting Petitioners.

BRIAN REED PHILLIPS, ESQ., Everett, Washington; on behalf of Respondent.

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C O N T E N T S

	PAGE
ORAL ARGUMENT OF	
WILLIAM L. WILLIAMS, ESQ.	
On behalf of Petitioners	3
PAUL J. LARKIN, JR.	
As amicus curiae, supporting the Petitioners	17
BRIAN REED PHILLIPS, ESQ.	
On behalf of Respondent	24
REBUTTAL ARGUMENT OF	
WILLIAM L. WILLIAMS, ESQ.	
On behalf of Petitioners	49

1 P R O C E E D I N G S

2 12:59 p.m.

3 CHIEF JUSTICE REHNQUIST: We'll hear argument now in No.
4 88-599, Washington versus Walter Harper.

5 Mr. Williams.

6 ORAL ARGUMENT OF WILLIAM L. WILLIAMS.

7 ON BEHALF OF PETITIONERS

8 MR. WILLIAMS: Thank you. Mr. Chief Justice, and may it
9 please the Court:

10 I am here today representing prison administrators and
11 medical professionals who are charged with the responsibility
12 for the welfare of mentally ill prisoners.

13 The issue before the Court is what due process requires
14 when my clients' exercise their professional judgment in
15 making a medical treatment decision regarding a mentally ill
16 prisoner who refuses to take prescribed medications.

17 The outcome of this case will significantly affect not
18 only my clients' ability to carry out their responsibilities,
19 but also will affect the lives of the other inmates for whom
20 my clients are responsible.

21 At issue here today is the adequacy of a policy at the
22 Special Offender Center, one of 13 prisons administered by the
23 Washington Department of Corrections, which authorizes
24 treatment of certain serious mental illnesses with
25 antipsychotic medications. This is the -- often -- or widely

1 recognized as the only effective treatment for certain serious
2 mental disorders, including schizophrenia, which was the
3 diagnosis for the respondent, Mr. Harper.

4 Not only is this treatment widely recognized as the only
5 effective treatment for persons in that situation, it is also
6 generally accepted medical knowledge that failure to provide
7 adequate treatment can result in serious adverse consequences
8 to the mentally ill patient. They can deteriorate further.
9 They can continue in assaultive and disruptive behavior. They
10 can become self-destructive. And they often face only a
11 prospect of lifelong institutionalization.

12 QUESTION: Mr. Williams, do you mind my asking where Mr.
13 Harper is now?

14 MR. WILLIAMS: No, your Honor, I do not. It will take me
15 a moment to explain.

16 Mr. Harper is currently at Western State Hospital, which
17 is a state hospital run by the Department of Social and Health
18 Services.

19 While Mr. Harper was at the Special Offender Center in
20 January of 1988, he was charged in Snohomish County Superior
21 Court with the crime of assault. In those criminal
22 proceedings, which are still pending in the Snohomish County
23 Superior Court, his defense counsel has raised the question of
24 his competence to stand trial.

25 QUESTION: Well, there was some suggestion, I think by

1 Respondent's counsel, that he had been taken out of the
2 Special Offender Center and taken off the medication, and that
3 that situation had continued for several years and was likely
4 to remain the same.

5 QUESTION: Well, your Honor, with due respect to counsel,
6 that was an inaccurate representation. Mr. Harper had been,
7 at the time of trial, transferred from the Special Offender
8 Center to the Washington State Penitentiary, which is another
9 prison --

10 QUESTION: Uh-huh.

11 QUESTION: -- operated by the Department of Corrections.
12 Subsequent to the trial, in -- I believe it was in April of
13 1987, he was transferred back to the Special Offender Center,
14 and beginning in September of 1987 --

15 QUESTION: Was he ever put back on the medication?

16 MR. WILLIAMS: Yes, ma'am. Yes, your Honor. In
17 September of 1987 he was again subjected to involuntary
18 medication -- pursuant to the SOC policy which had been upheld
19 at the trial level.

20 QUESTION: Is there some possibility he could be returned
21 there again and --

22 MR. WILLIAMS: I think there --

23 QUESTION: -- be subjected --

24 MR. WILLIAMS: -- is a very good possibility. The trial
25 court order -- the criminal trial court order that he is

1 currently at Western State Hospital on terminates in October
2 of this year, October 26th.

3 He'll be returned to Snohomish County Superior Court and
4 either be found competent to trial, go to trial, or be found
5 incompetent to stand trial, and under Washington law the
6 charges would be dismissed without prejudice. In either one
7 of those events, he will come back to the Washington
8 Department of Corrections.

9 His current sentence that he is serving now and was
10 serving at the time this took place does not expire until
11 1995, and the earliest he could even be considered for parole
12 currently is in November of 1992. Given that, and given that
13 he continues to be mentally ill, it seems very likely that he
14 would return to the Special Offender Center. And certainly,
15 then, under the test of Vitek v. Jones, this case is not moot.

16 QUESTION: Mr. Williams, I think Harper says that he's
17 not been involuntarily medicated since 1986. Is that not
18 true?

19 MR. WILLIAMS: That's what he says, your Honor, but
20 that's not true.

21 QUESTION: Uh-huh. I gather --

22 QUESTION: What I have just represented to Justice
23 O'Connor is not in the record because the record closed when
24 the trial took place in 1987.

25 QUESTION: Well, but I gather the state's position was

1 that in any event he had been involuntarily medicated between
2 April '87 and May '88. Is that right?

3 MR. WILLIAMS: He was at the Special Offender Center
4 during that time period, and beginning in September of '87 to
5 May of '88 he was involuntarily medicated.

6 QUESTION: Well, now -- and since May of '88?

7 MR. WILLIAMS: And since May of '88 he's been in one of
8 three different locations. One was the Washington State
9 Penitentiary.

10 QUESTION: And while -- while there was he involuntarily
11 medicated?

12 MR. WILLIAMS: No, your Honor, he was not. He was also
13 at times in the Snohomish County Jail where he was being held
14 in connection with the pending criminal charges --

15 QUESTION: And again not involuntarily medicated there?

16 MR. WILLIAMS: I do not know. That's run by --

17 QUESTION: I see.

18 MR. WILLIAMS: -- by Snohomish County, not the Department
19 of Corrections. But I believe that to be the case, that he
20 would not --

21 QUESTION: Well, what I'm getting at is whether this
22 issue of involuntary medication is moot.

23 MR. WILLIAMS: Well, your Honor, it's our position that
24 it is not moot because he will be -- probably within the next
25 month, but certainly within the next few months -- returned to

1 the Department of Corrections' custody.

2 QUESTION: Isn't the -- isn't the State of Washington now
3 under this -- the effect of this judgment?

4 MR. WILLIAMS: Yes, your Honor, we are.

5 QUESTION: Well --

6 MR. WILLIAMS: And that's why we're here today seeking
7 the judgment -- you -- the judgment of the Washington Supreme
8 Court in the case below. Is that the judgment you refer to,
9 your Honor?

10 QUESTION: Yes.

11 MR. WILLIAMS: And that's why we're here seeking to have
12 that overturned, because we -- if that decision is not
13 overturned, then of course we would be foreclosed from --

14 QUESTION: And we don't -- we don't vacate state
15 judgments if they're moot, do they -- do we?

16 MR. WILLIAMS: Not in any published decision I could
17 find, your Honor. I noticed in the -- I believe it's the
18 Deakins case -- there is a discussion of vacating federal
19 court judgments but not in state court judgments.

20 In this context the issue is due process. Now, what does
21 due process require? The Court has frequently said that due
22 process requires only procedures which are appropriate under
23 the circumstances. In the Parham case, the Court said that
24 the nature of the process which is required cannot be divorced
25 from the nature of the ultimate decision being made.

1 The decision here is a medical treatment decision.
2 Whether recognized, an effective treatment will be
3 administered to mentally ill prisoners.

4 QUESTION: May I ask you right there, because it's kind
5 of a fundamental question. You -- in your brief you rely in
6 part on Turner against Safley and -- requiring a rational
7 connection between the prison administration and the rule at
8 issue.

9 And I'm wondering in this case -- I suppose involuntary
10 medication would fairly clearly contribute to the orderly
11 conduct of the prison and -- because these people probably
12 would be less difficult to manage and handle if they are
13 medicated than if they're not. Is that a proper consideration,
14 do you think, to rely on -- do you rely in part on that
15 consideration or do you take the position that it has to
16 entirely be in the best interest of the prisoner?

17 MR. WILLIAMS: No. To -- we rely on both, your Honor.
18 We believe that since it is a treatment context, it is in the
19 best interest of the prisoner. But also, particularly like
20 Mr. Harper -- was found to be, and the court below found him
21 to be a threat to -- a danger to others. And so we believe
22 that that justifies the medication as well, even where the
23 prisoner feels in his best interests he wants to refuse it
24 because it poses a risk of danger to other inmates and other
25 staff.

1 QUESTION: What about the --

2 QUESTION: And if you're right -- could I ask just this
3 one other --

4 If you're right on that -- because I would think
5 factually you would have a pretty easy case of saying it makes
6 your job a lot easier -- do we really have to face up to the
7 rest of the case? Isn't that a sufficient justification all
8 by itself under your view?

9 MR. WILLIAMS: Well, we would submit that it is. That
10 that provides at least an alternative basis for the decision
11 that we are seeking from the court.

12 QUESTION: And is that one of the factors that the panels
13 will rely on in administering this program?

14 MR. WILLIAMS: Yes, the SOC policy provides that the
15 medication is only administered, one, for the person who is
16 mentally ill -- so, it is a treatment context. Secondly,
17 where the person is either a danger to himself or others or
18 gravely disabled, and those are very detailed -- the
19 definitions of those terms -- are spelled out in great detail.

20 And we believe that the policy, therefore, by its narrow
21 construction necessarily leads to a situation which was
22 contemplated in Turner v. Safley, that there would be a
23 reasonable relationship between this action and the legitimate
24 penalogical goal.

25 QUESTION: I suppose you could resort to physical

1 restraints if the problem was his risk to other people or
2 himself.

3 MR. WILLIAMS: That is a possibility, your Honor. But,
4 of course, for a mentally ill person there is no showing that
5 that has any treatment benefit. It results in warehousing the
6 mentally ill. It frustrates the legitimate policy of the
7 Special Offender Center which is to provide diagnosis and
8 treatment where it's available so that inmates can be housed
9 in one of the other 12 prisons which the Department of
10 Corrections administers. So --

11 QUESTION: But, of course, there are certain risks to the
12 administration of the medication, and if someone felt strongly
13 that they didn't want to be medicated and if you had the
14 alternative of isolation or restraint, is that something the
15 state should have to consider in the balance?

16 MR. WILLIAMS: I think it can be considered but there are
17 risks in administering the medication. But the risk to the
18 inmate of not administering it when it is medically
19 appropriate are equally, if not more, severe.

20 Further, even with physical restraints someone has to
21 apply the restraints. My clients, or their staffs, have to
22 try to provide food to the patient. Other inmates, when the
23 -- when the individual is released, which has to be sometime
24 during the day, are at risk of assaultive and threatening
25 behavior, such as that as was exhibited by Mr. Harper in this

1 -- in the case below.

2 So, we believe that it is -- that is a consideration, but
3 it is ultimately a medical judgment and that the medical model
4 which is utilized by the Special Offender Center is much
5 better geared to meeting the goal of the due process
6 requirement which is ultimately in avoiding or minimizing the
7 risk of an erroneous decision.

8 There are two potentially erroneous decisions in making
9 these kind of decisions. One is to administer medications to
10 someone who isn't mentally ill or for whatever reason doesn't
11 require them. The Special Offender Center policy, unlike the
12 decision below, not only provides a hearing opportunity for
13 that person but also ongoing medical reviews.

14 There is a requirement -- after the initial hearing there
15 is another hearing 14 days later, and another hearing 180 days
16 and every two weeks in between there is a report to the
17 Department of Corrections' medical officer. So there is some
18 --

19 QUESTION: I guess you don't -- you rely entirely on
20 in-house personnel for the review and the hearing and the
21 determination. Is that right?

22 MR. WILLIAMS: That is correct, your Honor. And --

23 QUESTION: Would it be burdensome to require some outside
24 consultant, or is that even appropriate to think about? Is
25 there a concern at all that the decision might be weighted

1 heavily in favor of just what's convenient for the
2 institution?

3 MR. WILLIAMS: Well, let me -- let me modify my answer
4 slightly. The psychiatrists are on contract. They are
5 practicing psychiatrists who contract to come to the prison a
6 few days each per week. So, in that sense, they are paid by
7 the Department of Corrections but they're not full-time Civil
8 Service employees of the Department of Corrections.

9 I suppose there might be at least a theoretical concern.
10 But if you accept our argument that it should be a medical
11 model, any consultant that we review -- we get to review it,
12 is going to be hired and paid for by the Department of
13 Corrections. And so almost inevitably there is going to be
14 that kind of a challenge or concern.

15 The other point, of course --

16 QUESTION: Does the -- does the review panel determine
17 the dosage and the type of drugs?

18 MR. WILLIAMS: Not directly, your Honor. The review
19 panel determines whether the -- what has been prescribed by
20 the treating physician is appropriate. Now, I supposed that
21 one could possibly --

22 QUESTION: Can that be -- can that be altered after the
23 decision to medicate is approved?

24 MR. WILLIAMS: Absolutely, your Honor. And I think one
25 of the possible outcomes of the review panel's decision is the

1 prescribed medication is maybe not the appropriate one or the
2 dosage is not right, but we recommend a low -- a lower dosage
3 or a different medication, or something of that nature.

4 QUESTION: But after the review panel makes its initial
5 decision, does any change in the dosage or the -- type of
6 drug used have to go back before that panel?

7 MR. WILLIAMS: No, your Honor, it does not. Except that
8 the initial hearing must be followed up by -within 14 days by
9 a second hearing. And then there are the ongoing medical
10 reports to the Department of Corrections.

11 And what I understand from the psychiatric practitioners
12 is that medical judgment is not a snapshot that you take at
13 one time. It's an ongoing thing as the patient changes,
14 progresses or fails to make progress, and that the
15 medications, the type of medications, and the dosages, are
16 changed, again, utilizing the subtle nuances, if you will, of
17 a professional judgment -- medical judgment standard.

18 QUESTION: Now, these psychotropic drugs alter the
19 emotional state of the individual?

20 MR. WILLIAMS: As I understand the way they work, they
21 alter the emotional state and try to produce a more
22 normative-type state. They do away with hallucinations and --

23 QUESTION: Do they alter the cognitive and perceptive
24 faculties of the person?

25 MR. WILLIAMS: It is my understanding that they -- that

1 the can have that effect because they overcome the
2 hallucinatory - and illusionary-type processes that are often
3 at play with such individuals.

4 QUESTION: Then either in a lay sense or a legal sense I
5 take it we could say that his willingness or his ability to
6 make a voluntary decision to consent or not to consent might
7 also be altered by the drugs themselves.

8 MR. WILLIAMS: That could be the case. And, in fact,
9 some of the medical studies that we have cited -- and I guess
10 sort of a flip side of that, which is often the initial
11 refusal to take the medication is not so much a manifestation
12 of the individual's true desire as a symptom or a
13 manifestation of the process of the illness from which they
14 are suffering.

15 QUESTION: In a sense, then, it's qualitatively different
16 from physical restraints, in that with physical restraints the
17 prisoner at least has his voluntary decision, his will
18 respected at all times, I take it, in that he can either
19 consent to the restraints or consent to drug use?

20 MR. WILLIAMS: If you accept the notion that what he is
21 saying truly manifest -- manifests his will, that would be
22 true. But that places too high a risk upon my clients and the
23 other inmates for whom they are responsible in trying to
24 implement a purely physical restraint regiment when there are
25 mentally ill individuals who could benefit from the treatment

1 which my clients wish to provide.

2 Unless there are further questions, I prefer to reserve
3 the rest of --

4 QUESTION: I have one question I'd like to ask you, Mr.
5 Williams. In your SOC procedures, in order for the drugs to
6 administer is it required for the -- is it required that the
7 consulting psychiatrist vote to approve them?

8 MR. WILLIAMS: That is true, your Honor. It's a
9 two-to-one vote unless the psychiatrist member of the panel
10 votes against medication, and then he controls it.

11 QUESTION: May I ask you one question also?

12 MR. WILLIAMS: Yes, your Honor.

13 QUESTION: Assuming a case in which the medical equation
14 is equal -- the medic - medical people conclude it may not do
15 any good and it probably won't do any harm, but it's quite
16 clear that it will make it easier to manage the prisoner if
17 you have this very obstreperous sedated, would it be
18 permissible in your view in such a case to say you must -- you
19 may go ahead and give the drugs?

20 MR. WILLIAMS: It would not be permissible under the SOC
21 policy because under the SOC policy you can only be
22 administered for a treatment purpose, and under your
23 hypothetical, as I understood it, there would be no treatment
24 purpose.

25 QUESTION: Thank you, Mr. Williams.

1 We'll hear now from you, Mr. Larkin.

2 ORAL ARGUMENT OF PAUL J. LARKIN, JR. AS AMUCUSCURIAE
3 SUPPORTING PETITIONERS

4 MR. LARKIN: Thank you, Mr. Chief Justice, and may it
5 please the Court:

6 In our view, for three reasons, due process allows
7 psychiatrists to make the baseline treatment decisions
8 regarding the appropriate clinical treatment of the severely
9 mentally ill with antipsychotic medication.

10 The three reasons are as follows. First, for more than
11 35 years antipsychotic medication has been widely recognized
12 by the psychiatric profession as an acceptable and sometimes
13 the only effective treatment for the seriously mentally ill
14 who are either dangerous, as is Respondent, or who are gravely
15 disabled.

16 Second, because antipsychotic medication is an
17 appropriate treatment for some mentally ill prisoner, the
18 questions that arise in each case involve quintessentially
19 medical judgments about the appropriateness of a particular
20 medication or a particular dosage for a specific prisoner.
21 And those judgments are more likely to be made far more
22 accurately by a physician than they are by a court.

23 Third, although we believe a prisoner has a liberty
24 interest in refusing antipsychotic medication, we also submit
25 that the state or federal government has a countervailing

1 interest in assuring that third-parties who are in an
2 institution are adequately protected from assault and in
3 helping to restore to a person the ability to function.

4 QUESTION: You began by saying a severely mentally ill
5 person. But by hypothesis, we are dealing here with someone
6 who has the capacity to deny consent from the standpoint of
7 exercising his voluntary choice, do we not?

8 MR. LARKIN: Not always, your Honor.

9 QUESTION: Well, doesn't the case come up to us in the
10 context where the man is deemed to be competent, in the lay
11 sense, of deciding whether he wants this medication or not,
12 and to assess the benefits and the disadvantages of not having
13 the medication?

14 MR. LARKIN: Well, the competency standard that the
15 Respondent has argued we believe is inappropriate for three
16 reasons.

17 First, as this case illustrates, a person can be
18 competent and yet assaultive. A competency standard,
19 therefore, if it were adopted by this Court, would not
20 adequately protect third parties from assault because it's
21 quite clear that Respondent is seriously mentally ill. He is
22 suffering --

23 QUESTION: But he is not so seriously mentally ill that
24 if he were a lay person he could be committed. Correct?

25 MR. LARKIN: I think - no - under a lay standard, because

1 he would be found to be mentally ill and a danger to others,
2 he could be committed. I think that's the standard this Court
3 adopted in O'Connor v. Donaldson, and it would allow a person
4 who is mentally ill and, therefore - and a danger to others --
5 not simply mentally ill but mentally ill and a danger to
6 others -- to be committed.

7 There are people -- the second reason why an incompetency
8 standard I think is inappropriate is that competency can be
9 cyclical. A person can alternate between states in which he
10 is competent and which he is not. And, therefore, he would
11 alternate between instances in which he could be treated and
12 in which he couldn't be treated even if the medication were
13 necessary to render him competent.

14 What could happen in that circumstance is a person would
15 continually spiral towards a worsening medical condition and
16 continuously treated on an emergency basis as the condition
17 deteriorated.

18 And third, a legal -- as competency is a legal standard.
19 It is not necessarily coincident, therefore, with the need to
20 treat someone who is gravely disabled.

21 For example, a person can be very, very severely
22 depressed -- so depressed that in a prison setting he could be
23 seen to be easy prey by other inmates. That person, at the
24 same time, however, may be able to decide whether or not he is
25 willing to accept certain types of treatments. In that

1 context, it is necessary in some cases to treat that person to
2 avoid him from being assaulted by other people.

3 That's not the situation here because Respondent himself
4 was responsible for assaulting other people. But that type of
5 situation can arise.

6 Now, Justice O'Connor asked can restraints be used,
7 perhaps on a person like Respondent. Restraints are only a
8 short-term measure for a variety of reasons.

9 First, a person who is under restraint can oftentimes
10 injure himself. He can injure nerves or muscles by fighting
11 at the restraints. He can become dehydrated. He could have a
12 heart attack.

13 Secondly, restraints don't treat the underlying mental
14 illness that is the cause of the problem. Someone like
15 Respondent also suffers from episodic and cyclical episodes of
16 violence. For example, some of the evidence in some of the
17 biweekly reports that were conducted at the SOC indicated that
18 they believed that there was a two to four month pattern of
19 violence that Respondent seemed to indicate, although it was
20 -- there was an overlapping episodic series of violent
21 assaults that could occur.

22 In that sort of circumstance, it would be impossible to
23 predict when in a particular instance a violent out - outburst
24 might occur and a restraint, therefore, would be an
25 ineffective means of preventing that sort of circumstance.

1 So restraints, however, I might add, are the type of
2 consideration that a physician or psychiatrist should be
3 required to consider under the professional judgment standard
4 that this Court adopted in the Youngberg case.

5 That standard would require a physician to decide amongst
6 the acceptable medical treatments by considering a variety of
7 factors such as the prisoner's past history, his current
8 mental status, his responsiveness to other types of drugs or
9 medication, the risk type and severity of side effects that
10 could occur, and the prospects of gain from using a particular
11 treatment. A court can then intervene in a particular case
12 after the fact just to ensure that a physician exercised his
13 professional judgment. It is not our view that the court
14 should be taken out of this altogether. It's our view that
15 psychiatrists should serve as the baseline decision-makers.

16 QUESTION: Mr. Larkin, do you think the standard for a
17 prison inmate is any different from the standard for a person
18 who has been committed civilly to a mental hospital?

19 MR. LARKIN: No. I think in factual cases there will be
20 a variety of different circumstances.

21 QUESTION: So then your analysis wouldn't rely at all on
22 Turner against Safley and that line of cases?

23 MR. LARKIN: Correct. The same factual scenarios can
24 arise in both contexts.

25 QUESTION: Right.

1 MR. LARKIN: Now, of course, in a prison context --

2 QUESTION: I think your position is a little different
3 than the state's position then.

4 MR. LARKIN: Correct. It is a little different. Our --
5 our ultimate standard would apply whether a person is in a
6 facility such as the SOC, or is in a mental ward of a
7 hospital, or whether he is in a psychiatric institution in a
8 state or a local government's care. In that respect, we think
9 the same standard would apply across the board.

10 Now, this --

11 QUESTION: I'm not sure you -- you say a danger to other
12 is part of the thing that doctors can consider as -- in
13 connection with the medical determination. You've just
14 converted Turner v. Safley into -- into a medical criterion
15 rather than a prison administration criterion.

16 You acknowledge that that's one of the things that can be
17 considered in prescribing the medical -- the treatment,
18 whether a person would be a danger to other -others.

19 MR. LARKIN: Correct.

20 QUESTION: Isn't that right?

21 MR. LARKIN: Correct. But a person who is a danger to
22 others because, say, for example, he's suffering from a
23 delusion or hallucination that perhaps the guards are the
24 devil -- not a devil, but the devil -- or that people are out
25 to poison him, is in a great deal of distress. And to treat

1 him in order to --

2 QUESTION: No, I understand.

3 MR. LARKIN: -- prevent him from harming someone else is
4 not simply a means of preventative restraint. It also treats
5 the underlying mental illness. Now, that problem can arise in
6 either a mental hospital or a prison circumstance. It may be
7 more likely to arise in a prison, but our standard would apply
8 across the board.

9 In either case, you are elevating a person's level of
10 functioning and it, therefore, is a treatment decision. It's
11 not simply a penalogical one.

12 Now, we think, although this case, as Justice Stevens
13 pointed out, involves only a prisoner who is assaultive and
14 therefore violent, is also one in which for a variety of
15 reasons the Court may want to address the question of whether
16 the professional judgment standard would apply to persons who
17 are gravely disabled.

18 And we think someone who is gravely disabled and
19 therefore who is in need of medical treatment for his illness
20 is also a person who can be treated, because, as my colleague
21 pointed out, in some cases the only alternative is a lifetime
22 of institutionalization for someone who is severely mentally
23 ill, whether or not he is dangerous.

24 If he has regressed so far that no other treatment is
25 effective, antipsychotic medication is an appropriate means of

1 helping to restore that person to a sufficient level of
2 functioning so that he can ultimately leave an institution.
3 Or, even if he cannot, then he can function within that
4 institution at a - at an acceptable level.

5 The competency standard that Respondent has urged does
6 little, we think, to help serve both of those goals, for the
7 reasons that I explained before. It does nothing to help
8 prevent the risk of violence. It does not overlap at all with
9 the situation in which a person may need this type of
10 treatment in order to receive the care that is necessary in
11 this context. And it is not one that we think is best applied
12 in this circumstance.

13 If the Court has no further questions, I have nothing
14 further to add.

15 QUESTION: Thank you, Mr. Larkin.

16 Mr. Phillips, we'll hear now from you.

17 ORAL ARGUMENT OF BRIAN REED PHILLIPS.

18 ON BEHALF OF THE RESPONDENT

19 MR. PHILLIPS: Mr. Chief Justice, and may it please the
20 Court:

21 I want to begin by emphasizing the nature of the of the
22 liberty interests at issue here, and in doing so, I want to
23 make a couple of points first.

24 Mr. Harper has never been determined to be incompetent.
25 Mr. Harper has never been determined by a court to require

1 treatment. That is, to suffer from a mental disorder and to
2 be gravely disabled or a danger to others. And that is the
3 distinction. Counsel for the Petitioner and for the U.S.
4 government keep talking about treatment. If they are going to
5 treat Mr. Harper, then it seems to me that, one, he is
6 presumed to be a competent person. A competent person has the
7 right to refuse treatment. The doctrine of informed consent
8 implies that a person will be adequately informed and will
9 voluntarily consent to treatment. And that, in fact, is the
10 -- is - we seek to protect that relationship between the
11 doctor and the patient. But part of that relationship is the
12 patient saying I don't want the treatment.

13 So, it seems to me it's very important in deciding this
14 case to make a very strong distinction to understand what
15 we're talking about between the parens patriae power of the
16 state and the police power of the state, those two interests.
17 They are very different and they have different implications
18 for the resolution of this case.

19 I disagree with counsel when he indicates that the SOC
20 policy says that it must be -- the treatment -- the
21 involuntary treatment with antipsychotic drugs must be for
22 treatment. I don't think it says that. It says that one can
23 only be medicated if he suffers from a mental disorder and as
24 a result of that is gravely disabled or presents a likelihood
25 of harm to himself or to others.

1 So, Mr. Harper is not seeking treatment. He is seeking,
2 as a competent adult -- presumed to be and no judicial
3 findings that he is not -- to refuse treatment.

4 QUESTION: He has that luxury when he's responsible for
5 himself --

6 MR. PHILLIPS: Uh-huh.

7 QUESTION: -- to simply refuse treatment.

8 MR. PHILLIPS: Uh-huh.

9 QUESTION: But that -- it doesn't necessarily follow that
10 he has that luxury when -- when he's been duly convicted of a
11 crime and has become a ward of the state in an institution to
12 punish him for that crime. Certainly that gives the state
13 some prerogatives that it does not have in the case of a
14 private citizen who may well choose to refuse treatment no
15 matter how much trouble that may give himself and other
16 individuals.

17 MR. PHILLIPS: Well, the state has the duty and the
18 obligation because Mr. Harper is in custody to offer
19 treatment, certainly, and to provide a minimum level of
20 treatment. But that does not imply, I don't think, that Mr.
21 Harper has a corresponding duty to accept the treatment. The
22 - and I think that's where we get the confusion --

23 QUESTION: But he does have an obligation not to injure
24 other people.

25 MR. PHILLIPS: Yes, he does.

1 QUESTION: And I guess the state has some concern about
2 his behavior.

3 MR. PHILLIPS: And I think that's -- the two questions
4 posed are where we get to the difficulty in this case, and
5 that is to separate out the parens patriae power from the
6 police power of the state. And I would submit that the parens
7 patriae power of the state does not extend to a competent
8 prisoner the ability of the state to force treatment.

9 Now, the police power, that's a different issue. And I
10 think when we look at the police power interest in this case,
11 I don't think that the police power interest is sufficient to
12 justify the long-term involuntary treatment with antipsychotic
13 medications that was at issue in this case.

14 There are, as your Honor has pointed out, other
15 alternatives. Restraints. Isolation is another alternative.
16 Now, counsel for the Petitioner indicated, well, those don't
17 have any treatment benefits. Well, that gets back into the
18 parens patriae part of this equation because once the state
19 decides that it's going to help its prisoner, then you're on
20 the parens patriae side. If they're going to control the
21 prisoner so - to maintain institutional calm and security, of
22 course the state has the right to do that.

23 QUESTION: But it seems to me the state has a right to do
24 some of each. I suppose they do have a concern about treating
25 people in prison who are ill.

1 MR. PHILLIPS: Yes. Yes, they do.

2 QUESTION: Yeah.

3 MR. PHILLIPS: But the point is that on the parens
4 patriae side of this equation, they have the right -- they
5 have the obligation, if you will, to provide the minimum level
6 of care. But we're talking about a competent adult, and it
7 seems to me that the fact of conviction doesn't extinguish
8 that liberty interest. That is, the liberty interest to make
9 decisions about what kind of drugs we're going to have or not
10 have.

11 QUESTION: Let's -- let's see if it helps to put it in a
12 context where it's not mental illness that's being treated.

13 Suppose a prisoner has contracted leprosy --

14 MR. PHILLIPS: Uh-huh.

15 QUESTION: -- and he decides I don't -- I don't want to
16 be treated for leprosy. Would the state have no alternative
17 but to isolate him and not to treat him for leprosy? Or could
18 the state say, I don't care whether you want to be treated for
19 it or not, we're going to treat you?

20 Now, you know, if you're out privately and you want to -
21 you want to live up on some isolated estate by yourself, I
22 suppose you can turn down treatment. But you're living in a
23 penal institution; we have no choice but to treat you.

24 Couldn't a state do that?

25 MR. PHILLIPS: Yes, the state could.

1 QUESTION: All right. Now, why is mental illness
2 different?

3 MR. PHILLIPS: Mental ill -- illness isn't different.
4 What's different is the nature of the intrusion. Now, if, for
5 example, leprosy was being treated with a drug, a new drug --
6 we have a new drug. It's an experimental drug; we're not
7 sure it's going to work. It may work. Okay? It has very
8 significant side-effects. In 80 -- in 20 percent of all cases
9 where we treat leprosy with this new drug, 20 percent of the
10 people die.

11 Now, this person says, I don't want to take that risk.
12 I'm a competent adult. That risk is a little too great for me
13 -- and in - 60 percent persons are severely debilitated -- I
14 don't want to take that risk. And it seems to me the
15 government's got to respect that. However, they have the duty
16 to maintain other prisoner's health, if you will. Okay.

17 So, I think what you look at is a continuum. What is the
18 nature of the intrusion? If the intrusion is minor, you need
19 to take aspirin. If that will calm you down, you need to take
20 aspirin. No problem.

21 You need to take cold medicine because we don't want you
22 spreading the risk of colds. No problem, because the
23 side-effects aren't so serious. You need to take
24 antipsychotic medications where you run the risk of suffering
25 from -- and Mr. Harper did suffer from -- dystonia and

1 akathisia. You'll run the further risk of suffering from
2 tardive dyskinesia, which may not appear until after you have
3 discontinued treatment and which is correlated with high
4 dosages and long-term treatment. And Mr. Harper was on these
5 drugs for a very significant period of time. Years.

6 Now, does the state have the right to say, okay, we're
7 going to treat you against your will with that? Yes, in fact,
8 they do if they go and have a judicial determination because
9 we want to reduce the risk of error. And the risk of error is
10 inherent in this kind of situation, it seems to me, because
11 you're talking about a decision made within the institution, a
12 decision made for reasons of control, I submit, as much as
13 reasons of treatment. But if it's made for --

14 QUESTION: Well, let me -- let me go back to the leprosy
15 case.

16 MR. PHILLIPS: Okay.

17 QUESTION: Suppose the institution has a medical board
18 examine the individual and the medical board says any
19 reasonable person with this condition would accept medical
20 treatment. There is just no reason -- the desire not to have
21 any treatment for this leprosy is just irrational, we think.
22 And both out of concern for the health of the inmate and out
23 of concern for the orderliness and safety of the institution
24 this person should be treated. And that is determined
25 internally by a -- by a medical board within the institution.

1 That would be no good?

2 MR. PHILLIPS: Again, I think it depends on the nature of
3 the intrusion.

4 QUESTION: I've told you what the nature of the intrusion
5 is.

6 MR. PHILLIPS: Well --

7 QUESTION: It's sound medical treatment. Any rational
8 person would accept it.

9 MR. PHILLIPS: Well, on the *parens patriae* side of this
10 equation, if you will, on the treatment side of this equation,
11 I am a sound competent adult. That does not mean the
12 government can tell me that I need to accept treatment.

13 QUESTION: I understand that. Outside of prison that's
14 true. But this person is in prison --

15 MR. PHILLIPS: Right.

16 QUESTION: -- and the prison makes that judgment.

17 MR. PHILLIPS: Well, I think --

18 QUESTION: We don't want to have a special cell for a
19 leper. Any reasonable person would accept medical treatment.

20 MR. PHILLIPS: Uh-huh.

21 QUESTION: We're going to give this person medical
22 treatment. Can they do that?

23 MR. PHILLIPS: It depends -- I think it depends on what
24 -- I don't mean to be disrespectful, but what is the nature of
25 the intrusion? The intrusion here is something that affects

1 the mind. Now, the leprosy example, if it's a pill, if it's
2 sulfa, and that's going to treat leprosy, then I don't think
3 there is any problem with that.

4 QUESTION: I don't think it makes any difference what the
5 nature of the intrusion is so long as I've posited that any
6 rational person would accept it. It is a sound --
7 unquestionably sound medical determination that a reasonable
8 person would accept.

9 MR. PHILLIPS: Well, but then we're assuming that the
10 inmate is incompetent. That is, he is irrational. And those
11 kinds of --

12 QUESTION: No, you don't have to be incompetent to be
13 unreasonable about one thing. I'm perfectly competent and I
14 just don't want medical treatment.

15 MR. PHILLIPS: And I don't see how a criminal conviction
16 does away with the liberty rights or interests to make
17 decisions concerning one's --

18 QUESTION: The answer is you could not treat the leper in
19 that situation --

20 MR. PHILLIPS: No, I --

21 QUESTION: -- in your theory.

22 MR. PHILLIPS: No, that's not my answer. My answer is --

23 QUESTION: Well, what is your answer?

24 MR. PHILLIPS: My answer is it would depend on what the
25 side-effects were of the treatment, number one. Okay? And

1 you could treat the leper -- if there were very serious
2 side-effects -- okay, no rational person can do it.

3 QUESTION: That's right. I've said that.

4 MR. PHILLIPS: Okay.

5 QUESTION: I've said any rational person would accept the
6 treatment. What more can I say?

7 MR. PHILLIPS: Then I think you'd need to go to a court
8 and have a proceeding --

9 QUESTION: So you'd still need to go to court in that
10 situation?

11 MR. PHILLIPS: In the situation of a rational -- no
12 rational person would refuse this treatment?

13 QUESTION: Uh-huh.

14 MR. PHILLIPS: I think a court needs to decide that that
15 is in fact the case.

16 QUESTION: What makes the court better able to decide
17 that than the medical practitioners, and why isn't the court
18 totally reliant on the advise of the medial practitioners in
19 that situation?

20 MR. PHILLIPS: Well, I think in - on the parens patriae
21 side of this you're asking -- what you're asking is for a
22 substituted judgment, and courts make those kinds of judgments
23 all the time. Courts decide in competency proceedings to make
24 those kinds of judgments. They decide, based -- informed by
25 psychiatric decisions. But --

1 QUESTION: Well, in case like Youngberg v. Romeo this
2 Court has held that it can be -- such decisions can be made by
3 medical experts.

4 MR. PHILLIPS: Well --

5 QUESTION: That a court isn't always necessary to -- as
6 an intervening power.

7 MR. PHILLIPS: And there I think it depends on the nature
8 of the liberty interest and the nature of the intrusion.

9 QUESTION: Well, involuntary commitment is a pretty
10 powerful liberty interest there.

11 MR. PHILLIPS: Yes, it is. And Mr. -- Mr. - in Youngberg
12 v. Romero, Mr. Romero had been committed by court order. Mr.
13 Harper -- a court order relative to his mental status. Mr.
14 Harper hasn't had that kind of decision - which has resulted
15 in this incarceration and this treatment.

16 Mr. Youngberg was seeking habilitation, not seeking to
17 refuse treatment. Mr. Youngberg was restrained by soft
18 restraints.

19 It's not the same kind of liberty interest, the right to
20 be free from the forced administration of antipsychotic drugs.

21 QUESTION: What if -- what if Washington were to say, all
22 right, we will go to court and get a determination that the
23 prisoner in this case was mentally incompetent, and then we're
24 going to follow our SOC proceedings from then on as to whether
25 drugs should be administered. Would that satisfy you or not?

1 MR. PHILLIPS: I think that's a lot closer. Yes. Yes,
2 that would - that would essentially satisfy me. What the
3 particulars are of the procedure --

4 QUESTION: So, once the determination of mental
5 incompetency has been made, you don't object to the treatment
6 decisions being made administratively?

7 MR. PHILLIPS: I - I'm not saying that the particular
8 dosage or the particular type of antipsychotic drug would be
9 determined by the court. No, that's not necessary.

10 QUESTION: Well, would -- would the court need only to
11 determine once that the guy was mentally incompetent?

12 MR. PHILLIPS: No, I would think that there would have to
13 be some periodic review.

14 QUESTION: Well, so -- but -- but review of the
15 competence of the individual or review of the -- review of the
16 treatment decisions?

17 MR. PHILLIPS: I think review of -- the lower court in
18 this situation has indicated that before you can treat you
19 need to in part make a competency determination because they
20 talked about a substituted judgment. But you need to decide
21 that there is a mental disorder and that -- excuse me, you
22 need to decide that there is a compelling state interest and
23 the safety of other prisoners or staffs certainly would be,
24 that that interest would be served by the administration of
25 antipsychotic medications, and that the court is then to look

1 --

2 QUESTION: Well, that's quite different, really, than my
3 hypothetical which is a more limited thing. Just a one-shot
4 determination that the person is mentally incompetent. And
5 then if there is a claim that he has regained competence, you
6 go back to court. But no court -- no court hearings on the
7 treatment decisions.

8 MR. PHILLIPS: Well, I - I'd prefer the lower court's
9 decision. And I think it's more appropriate, given the type
10 of liberty interest at stake and given the type of
11 side-effects that are present or implicated that Mr. Harper
12 suffered and that are implicated by these medications.

13 QUESTION: Well, if I understand you, the only time this
14 treatment could be imposed involuntarily is if the person is
15 incompetent to make his own decision.

16 MR. PHILLIPS: No.

17 QUESTION: You -- you would think that even if a person
18 is competent and refuses, a court could say -- could find him
19 to be a danger to himself and others and then give the --

20 MR. PHILLIPS: In line with civil commitment acts -- in
21 line with the civil commitment statutes --

22 QUESTION: Well, what that means is --

23 MR. PHILLIPS: -- in the State of Washington.

24 QUESTION: A civil commitment means that you can
25 certainly deprive them of their liberty --

1 MR. PHILLIPS: Certainly.

2 QUESTION: -- and restrain them. But it doesn't mean you
3 could necessarily give them psychotic drugs against their will
4 if the man is competent.

5 MR. PHILLIPS: And I don't --

6 QUESTION: I thought - I understood that your position
7 was that if he's competent that's the end of the story.

8 MR. PHILLIPS: Well --

9 QUESTION: They may not involuntarily --

10 MR. PHILLIPS: Mr. Harper's position is he's never been
11 seen by a court with respect to his mental status that has led
12 to this incarceration and that has given him drugs, and he
13 wants to be seen by a court.

14 QUESTION: Well, I know that. But what's the court
15 supposed to find out?

16 MR. PHILLIPS: I think that the court -- when the court
17 looks --

18 QUESTION: Suppose they find him competent --

19 MR. PHILLIPS: Uh-huh.

20 QUESTION: -- but a danger to himself and others? May
21 the treatment then be imposed?

22 MR. PHILLIPS: Well, I think that's a question that the
23 court is going to have to deal with.

24 QUESTION: Well, what's your opinion on that? I think
25 it's --

1 MR. PHILLIPS: Well --

2 QUESTION: I think that's -- I think it depends a lot on
3 how this case comes out. What's a court supposed to be
4 deciding?

5 MR. PHILLIPS: That the prisoner is in - is incompetent,
6 the prisoner is competent but has been committed. I'm sorry,
7 I didn't --

8 QUESTION: Well, what -- I would like to know what you
9 are claiming the court must decide.

10 MR. PHILLIPS: Okay. I think that the court must decide
11 that before one can be involuntarily administered with
12 antipsychotic drugs on a long-term basis there must be a court
13 hearing which resolves the question of -- yes, I think it
14 needs to resolve the question of competency.

15 QUESTION: Yes. Anything else?

16 MR. PHILLIPS: It needs to resolve the question of
17 whether or not the person is a danger to himself or others.
18 That is, whether or not there is --

19 QUESTION: If he's incompetent -- if he's incompetent,
20 they don't need to resolve that? Or --

21 MR. PHILLIPS: No, I think they need to resolve that as
22 well.

23 QUESTION: If he's -- even though he's incompetent?

24 MR. PHILLIPS: Yes.

25 QUESTION: And if he is competent, they resolve that --

1 if they resolve the danger element against him, the drugs may
2 be administered?

3 MR. PHILLIPS: If he's incompetent?

4 QUESTION: No. If he's competent.

5 MR. PHILLIPS: If he's competent.

6 QUESTION: Uh-huh.

7 MR. PHILLIPS: Well, I --

8 QUESTION: Well, the state court answered that very
9 clearly. They said that it has to be in the man's best
10 interest, didn't they?

11 MR. PHILLIPS: Yes, they did say it had to be in his best
12 interest.

13 QUESTION: Which they might fail that test even if he's
14 dangerous and even if he's competent or incompetent.

15 MR. PHILLIPS: And they said they had essentially to make
16 a substituted judgment.

17 QUESTION: Do you defend the position of the state
18 supreme court?

19 MR. PHILLIPS: Yes, I do.

20 QUESTION: So, you can treat him even though he's
21 competent, and even though he doesn't want to be treated?
22 Right? I think that's what you just said.

23 MR. PHILLIPS: Yeah. I think you could treat him under
24 those circumstances.

25 QUESTION: And is that true even if the drugs alter his

1 will?

2 MR. PHILLIPS: Well, yes, I think it is true even if the
3 drugs alter his will. I think that the question see on --

4 QUESTION: So that a competent person, over his objection
5 --

6 MR. PHILLIPS: Uh-huh.

7 QUESTION: -- can receive psychotropic drugs that alter
8 his will, if there is a court hearing? That's your position?

9 MR. PHILLIPS: I'm sorry. I think I'm going to retreat
10 from that. I don't think that is my position. I apologize to
11 the Court.

12 QUESTION: Is your objection in this case to the fact
13 that the drugs alter the will or that they have side-effects
14 because I'd like -- in order to put that proposition to
15 hypothesize that you have a psychotropic drug which has no
16 side-effects but it does alter the will. Could that be
17 administered to a competent person over his objection?

18 MR. PHILLIPS: No. For reasons of treating him?

19 QUESTION: Yes.

20 MR. PHILLIPS: No. That would alter his will? That
21 would alter his ability -- this is --

22 QUESTION: It would alter his cognitive faculties, his
23 emotional state. It would make him very compliant, and after
24 some treatments with these drugs he would want more because
25 his mind state, where he previously objected to them was now

1 altered.

2 MR. PHILLIPS: Well, that would be a very effective drugs
3 -- in some countries that I can think of and -- and would
4 probably be widely used. And I think that's where the --

5 QUESTION: Is it permissible to administer such a drug to
6 a person against his will if he's competent, in a prison
7 setting?

8 MR. PHILLIPS: If he's competent?

9 QUESTION: Yeah.

10 MR. PHILLIPS: No, I think it would not be permissible.

11 QUESTION: Well, I guess the court below thought if a
12 person is found to be mentally ill or diseased and a danger to
13 himself or others, then that individual can be involuntarily
14 committed and involuntarily treated if it's in the best
15 interests of that person.

16 I mean, that clearly was the finding below and the
17 determination below. It didn't require a determination of
18 competence. People can be mentally ill and a danger and
19 committed even though they might be "competent for some
20 purposes." Isn't that true?

21 MR. PHILLIPS: Well, I think the court below did in
22 effect require a competency decision by referring to a
23 substituted judgment that the person would be too irrational
24 to make a decision and that the court in so doing -- "a court
25 asked to order antipsychotic drug treatment for a

1 nonconsenting patient must therefore consider the patient's
2 desires before entering an order."

3 So, in effect, what they're doing is indicate - is making
4 a statement that the individual is incompetent, it seems to
5 me.

6 QUESTION: That's not what the court said, of course, and
7 that's not the standard for involuntary commitment in
8 Washington State or other states.

9 MR. PHILLIPS: Well, the court -- the court indicated
10 that the court must set forth findings on, among other things,
11 the desires of the patient or a substituted judgment by the
12 court -- is what the court indicated.

13 I want to emphasize the importance of this liberty
14 interest. I think that the First Amendment is implicated
15 here. It was -- that claim by the respondent was not
16 addressed by the lower court, but I think it is an important
17 consideration in deciding how important this liberty interest
18 is and how important the private interest is, because if one
19 cannot generate ideas or if one's ability to generate ideas is
20 affected by mind-altering drugs, then the ability to express
21 those ideas is going to be similarly affected.

22 QUESTION: Well, as an original proposition I think
23 that's -- that's very appealing, and I might agree with it,
24 that maybe the state shouldn't have the right to alter
25 anybody's mind without the person's consent unless the person

1 is incompetent in the sense that Justice O'Connor was speaking
2 of.

3 But in fact do you have any idea whether that has been --
4 been the tradition in this country in either -- in either
5 penal institutions or mental institutions?

6 MR. PHILLIPS: The tradition of --

7 QUESTION: Of simply declining to administer any -- any
8 psychotropic drugs if the individual is competent and refuses
9 them? What has been the practice?

10 MR. PHILLIPS: Historically in this country?

11 QUESTION: Historically.

12 MR. PHILLIPS: I'm really not sure. I can only speak to
13 what has occurred in the State of Washington in the recent
14 past.

15 QUESTION: But you just think that we ought to adopt a
16 rule that you cannot alter somebody's mind unless -- unless
17 the person is willing or incompetent?

18 MR. PHILLIPS: I -- I think that the Court needs to bear
19 in mind the implication -- the First Amendment implications of
20 the administration of antipsychotic medications in deciding
21 this case. Yes.

22 QUESTION: I take it you'd agree that the difficulty of
23 these questions is a strong argument for your position that
24 there should be a court hearing initially?

25 MR. PHILLIPS: Exactly. And -- what Mathews teaches us

1 -- I mean, a case about the temporary interruption of
2 disability benefits. But what it teaches us, it seems to me,
3 is that you weight the factors set forth in Mathews. And the
4 compelling nature, I would submit, of this liberty interest
5 weighs very heavily in favor of saying to the state, you must
6 go through these slight -- and I submit it is very slight --
7 administrative burden of having a judicial hearing rather than
8 the hearing panel.

9 In response to this decision, the Harper decision, the
10 state legislature engrafted, if you will, the Harper decision
11 onto the civil commitment laws of the State of Washington, and
12 I think that's a recognition that this isn't so burdensome.

13 In response to Vitek, Congress required judicial hearings
14 for the transfer from a prison to a mental health hospital.
15 That's an indication that it isn't so very burdensome. And if
16 it's not so very burdensome, then what's the problem with
17 providing it where the interest is so significant and where
18 the procedures attendant upon a judicial hearing are going to
19 be more, it seems to me, designed to make a correct decision
20 with less potential for error.

21 QUESTION: Mr. Phillips, does the record tell us how many
22 prisoners are -- will be affected by this decision in
23 Washington?

24 MR. PHILLIPS: I believe it indicates in the findings of
25 fact that there were some - something in the 20s who were at

1 the Special Offender Center who have not been receiving -- who
2 were refusing antipsychotic medications.

3 There is a Law Review article cited in my memorandum, I
4 think at page 93 -- or, excuse me, footnote 93 -- which was
5 done seven months after -- five months after the decision,
6 which indicated that during that five-month period there had
7 been three hearings.

8 The hearings are -- this is not in the record -- the
9 hearings are typically held at the institution so there is no
10 problem with security and so forth. And it simply is not that
11 big an administrative burden where the liberty at interest at
12 stake is so important.

13 I do want to turn to -- to the value of these additional
14 safeguards, and in doing so I want to talk about how the
15 procedure took place in this case at the institution and how
16 in fact it takes place typically at the Special Offender
17 Center and --

18 QUESTION: Excuse me. Get - we have - There's an
19 important -- for commitment of people to mental institutions,
20 not penal institutions, do you have to be incompetent to be
21 committed or can you be competent but a danger to yourself or
22 others? Is that possible?

23 MR. PHILLIPS: You do not have to be incompetent.

24 QUESTION: You don't have to be incompetent?

25 MR. PHILLIPS: No.

1 QUESTION: So -- and I assume you would apply the same
2 rule in -- a fortiori, in mental institutions? That somebody
3 who is a danger to himself or others can be committed but
4 cannot against his will be treated?

5 MR. PHILLIPS: Well, that's the rule I would like to see
6 this Court adopt. Yes. But I don't think that this Court --
7 I mean, Mr. Harper personally would be, I think, less -- would
8 be satisfied if he had a hearing somewhere before a judge and
9 not a decision made wholly within the institution because when
10 the decision was made in this case -- and is typically made in
11 - within the institution -- what occurs is the staff of the
12 hospital consult outside the presence of Mr. Harper with the
13 hearing committee, review the basis for their decision to
14 recommend treatment, discuss whether or not the guidelines
15 have been met, and then Mr. Harper is brought into the
16 hearing.

17 I don't think that that even measures up to the kind of
18 thing neutral fact-finder required in -- or, the kind of
19 hearing required in Vitek or in -- or in -- excuse me.

20 QUESTION: So, this hearing that you're asking would have
21 to occur not just in prisons, but in all -- in all mental
22 institutions in all states for anybody who has been committed
23 not for incompetence but just because the person is a danger
24 to himself or others? Before all of those people can be
25 treated by those institutions where they've been committed for

1 treatment, there would have to be a judicial hearing with
2 respect to each -- each treatment?

3 MR. PHILLIPS: That, of course, is not the question
4 before the Court.

5 QUESTION: Well, no, but I see no reason of
6 distinguishing mental patients from prisoners for that
7 purpose.

8 MR. PHILLIPS: And that is the decision that has been
9 made by the Washington State Legislature, for example -- to do
10 that.

11 QUESTION: Well, in Vitek there was a prisoner --involved
12 a prisoner - a transfer to a mental institution.

13 MR. PHILLIPS: Uh-huh.

14 QUESTION: He was already in custody. To be transferred
15 to a mental institution he didn't need to be found to be a
16 danger to himself or others?

17 MR. PHILLIPS: Correct.

18 QUESTION: And didn't Vitek involve a transfer for
19 treatment?

20 MR. PHILLIPS: For behavior modification treatment.

21 QUESTION: Yes. Which is different than this kind of
22 treatment?

23 MR. PHILLIPS: Yes, it's not as intrusive.

24 QUESTION: So, it's just a degree of intrusiveness?

25 MR. PHILLIPS: I think that's a very important factor.

1 In Vitek it isn't as intrusive and it doesn't have the kind of
2 side-effects that this medication does.

3 I want to make another point about --

4 QUESTION: So we have to -- we have to distinguish
5 between the medications. That was behavioral modification
6 treatment --

7 MR. PHILLIPS: Right.

8 QUESTION: -- in Vitek. What is that? What does that do
9 to you?

10 MR. PHILLIPS: Well, it --

11 QUESTION: That this doesn't or that -- what does this do
12 to you that that doesn't?

13 MR. PHILLIPS: It - It's designed to alter your behavior
14 but I would submit that one can refuse to participate.

15 QUESTION: And altering your will a little bit?

16 MR. PHILLIPS: One can refuse to participate in the
17 treatment. Once the injection or the drugs are administered
18 in this case, your -- your ability to refuse in the treatment
19 ends, and it doesn't have the kind of side-effects that -- it
20 doesn't result in akathisia or dystonia, or these other
21 side-effects. The other point I think about the procedures
22 here, at SOC the first time that Mr. Harper was medicated, the
23 treating physician was Dr. Pethridge. Two weeks later, Dr.
24 Pethridge is not the treating physician. He is now on the
25 reviewing committee.

1 There was, if you will, a rotating door between being a
2 treating physician and being the -- on the reviewing
3 committee. Four psychiatrists went through that door. That's
4 not the kind of of independent, neutral -- independent
5 decision-maker or neutral fact-finder that I think is
6 required. And that's one of the dangers, if you will, of
7 allowing the institutions to adopt their own procedures. We
8 know we will get an independent detached magistrate in a court
9 of law.

10 The - in addition, there is no announced standard of
11 evidence or standard of proof with respect to the policies.
12 And I want to refer to Addington v. Texas where the Court
13 decided that a clear, cogent and convincing standard was the
14 appropriate standard before civil commitment. And increasing
15 the burden of proof is one way to impress the fact-finder with
16 the importance of the decision and thereby perhaps to reduce
17 the chances that inappropriate commitments will be ordered.

18 QUESTION: What -- oh, excuse me. I think your time has
19 --

20 MR. PHILLIPS: Oh, I'm sorry.

21 QUESTION: Thank you, Mr. Williams -- rather, Mr.
22 Phillips. I'm sorry.

23 Mr. Williams, you have three minutes remaining.

24 REBUTTAL ARGUMENT OF WILLIAM L. WILLIAMS.

25 ON BEHALF OF PETITIONERS

1 MR. WILLIAMS: Thank you, your Honor. Just a couple of
2 brief points.

3 First, in response to Justice Steven's question about the
4 number of prisoners. As of the date of trial, there were 25,
5 I believe it was. As of the date of the Washington Supreme
6 Court decision, there were nine, and today there are seven who
7 have been through the hearings required by the decision below.

8 That's out of the 144 prisoners at the Special Offender
9 Center and 6,000 inmates throughout the Washington Department
10 of Corrections system.

11 QUESTION: Do you know what the -- what the success rate
12 has been in the hearings? Has the judge usually said, go
13 ahead and give the drugs, or has he --

14 MR. WILLIAMS: In all seven that have been brought at the
15 prison that has been the result, your Honor.

16 And the other point in response to the questions Justice
17 White had about Vitek, it's true that the decision there
18 speaks in terms of mandatory behavior modification, but it's
19 our understanding based upon one of the amicus briefs that
20 Respondent submitted, that treatment with antipsychotic
21 medications was contemplated there. And there is an
22 indication in the trial court memorandum decision which is
23 published. There is a footnote, I believe, that speaks to
24 that as well, your Honor.

25 QUESTION: (Inaudible) just - just behavior modification

1 treatment wouldn't necessarily involve the considerations that
2 are in this case?

3 MR. WILLIAMS: Well, I think they may arguably -- and if
4 it does involve medication, it may arguably involve different
5 kinds of considerations.

6 But the point remains that the purpose in Vitek was
7 transfer for a treatment, and what we're dealing with here is
8 treatment.

9 And that brings me to the third point I wanted to make.
10 Counsel suggested that the SOC policy was not geared to
11 treatment. The SOC policy requires that the medications be
12 prescribed by a psychiatrist or in an emergency somebody with
13 prescriptive authority and confirmed by a psychiatrist within
14 24 hours. And under Washington law, prescribing medications
15 for a non-therapeutic purpose would be illegal. The final
16 point. Since this is a medication decision, a treatment
17 decision, and a due process analysis, the question is what
18 process is most likely to result in the correct decision. And
19 we submit that having a judge make the decision after a full
20 hearing which necessary involves at a minimum delay and in
21 some instances appropriate medical judgment denied, that that
22 does not meet the test of due process. That the medical model
23 implemented in this SOC policy is more appropriate under the
24 due process analysis.

25 QUESTION: Mr. Williams, what about just having a judge

1 make the decision which the judge makes for civil commitment,
2 not that - on the details of medical treatment, but at least a
3 judicial decision that the person is a danger to himself or
4 others? That the person is either incompetent or is a danger
5 to himself or others?

6 That has been the traditional necessary judicial judgment
7 before you can get civil commitment, right? Now, would you
8 object to that?

9 MR. WILLIAMS: Well, I guess the response to that is what
10 value does that add to the decision-making process to have a
11 judge make that decision when the result, if he makes a
12 negative decision even though medical professional judgment
13 indicates that the person does constitute because of his
14 medical condition a threat to himself or others -- if one of
15 the outcomes is that the judge is going to in effect overturn
16 that decision, what you have is a judge interfering with the
17 professional medical judgment which this court has said
18 persons in custody are entitled to.

19 I think that the judge doesn't add anything, and it --
20 and it increases the risk that an erroneous decision not to
21 provide treatment will be made.

22 CHIEF JUSTICE REHNQUIST: Thank you, Mr. Williams.

23 The case is submitted.

24 (Whereupon, at 1:59 p.m., the case in the above-entitled
25 matter was submitted.)

CERTIFICATION

Alderson Reporting Company, Inc., hereby certifies that the attached pages represents an accurate transcription of electronic sound recording of the oral argument before the Supreme Court of The United States in the Matter of:

Washington, et al., Petitioners V. Walter Harper

NO. 88-599

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BY Judy Freilicher
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