EXHIBIT "A"

IN THE Supreme Court of the United States

RALPH BAZE, et al, Petitioners,

٧.

JOHN D. REES, et al., Respondents.

ON WRIT OF CERTIORARI TO THE SUPREME COURT OF KENTUCKY

JOINT APPENDIX VOLUME IV

REDACTED VERSION FOR PUBLIC RECORD

Jeffrey T. Middendorf*
John C. Cummings
Justice & Public Safety
Cabinet
Office of Legal Services
125 Holmes St
Frankfort, Kentucky 40601
502-564-3279

Counsel of Record for Respondents

David M. Barron*
John Anthony Palombi
Assistant Public Advocates
Kentucky Department of Public
Advocacy
100 Fair Oaks Lane, Suite 301
Frankfort, Kentucky 40601
502-564-3948

Counsel of Record for Petitioners

*Counsel of Record

PETITION FOR CERTIORARI FILED JULY 11, 2007 CERTIORARI GRANTED SEPTEMBER 25, 2007

TABLE OF CONTENTS

Volume I

List of Relevant Docket Entries, Baze v. Rees, Civ. A. No. 04-CI-01094 (Franklin Cir. Ct.)	1
List of Relevant Docket Entries: Kentucky Supreme, <i>Baze v. Rees</i> , 2005-SC-0543- MR (Ky.)	5
Department of Corrections' 2002 Response to Open Records Request by Thomas Ransdell	7
Complaint for Declaratory Judgment and Injunctive Relief, Baze v. Rees, Civ. A. No. 04-CI-01094 (Franklin Cir. Ct. filed Aug. 9, 2004)	9
Defendants' Answer to Complaint, , Baze v. Rees, Civ. A. No. 04-CI-01094 (Franklin Cir. Ct. filed Oct. 26, 2004)	. 51
Defendants' Answer to Plaintiffs' Request for Production of Documents and Interrogatories, <i>Baze v. Rees</i> , Civ. A. No. 04-CI-01094 (Franklin Cir. Ct. filed Oct. 22, 2004)	. 54

Defendants' Answer to Plaintiffs' Second Request for Production of Documents, Baze v. Rees, Civ. A. No. 04-CI-01094 (Franklin Cir. Ct. filed Jan. 27, 2005)	76
Defendants' Answer to Plaintiffs' Second Set of Interrogatories, <i>Baze v. Rees</i> , Civ. A. No. 04-CI-01094 (Franklin Cir. Ct. filed Jan 27, 2005)	80
Pre-Trial Proceedings, Baze v. Rees, Civ. A. No. 04-CI-01094 (Franklin Cir. Ct.)	88
Sept. 8, 2004 Sept. 30, 2004 Nov. 23, 2004 Jan. 31, 2005	90 90
Trial Testimony, Baze v. Rees, Civ. A. No. 04-CI-01094 (Franklin Cir. Ct. Apr. 18, 2005)	94
Testimony of Professor Deborah Denno Testimony of Tom Campbell Testimony of William Henderson Testimony of Phillip Parker Excerpts from testimony of Tracey Corey Testimony of John Rees	138 150 193 230
Trial Testimony, Baze v. Rees, Civ. A. No. 04-CI-01094 (Franklin Cir. Ct. Apr. 19, 2005)	260
Testimony of Glenn Haeberlin	261

Testimony of Richard Pershing 327
Excerpts from testimony of Dr. Steve Hiland
Excerpts from testimony of Nurse Chanin
Hiland 354
Excerpts from testimony of Dr. Scott Haas
Volume II
Trial Testimony, Baze v. Rees, Civ. A. No.
04-CI-01094 (Franklin Cir. Ct. Apr. 20, 2005)
Direct examination testimony of Carol
Weihrer388
Excerpts from testimony of Dr. Mark
Heath 400
Trial Testimony, Baze v. Rees, Civ. A. No.
04-CI-01094 (Franklin Cir. Ct. May 2, 2005)
2009/ 943
Excerpts from testimony of Dr. Mark
Dershwitz
Excerpts from testimony of John Rees
(recalled by Defendants) 635
PLAINTIFFS' TRIAL EXHIBITS
Pls. Ex7, Oklahoma's original execution
protocol (1978)
p1000001 (20 10) 111111111111111111111111111111111

Pls. Ex 26 Package insert for sodium thiopental
POST-TRIAL
Plaintiffs' Post trial brief, Baze v. Rees, Civ. A. No. 04-CI-01094 (Franklin Cir. Ct. May 20, 2005)
Defendants' Post trial brief, <i>Baze v. Rees</i> , Civ. A. No. 04-CI-01094 (Franklin Cir. Ct. May 20, 2005)
Findings of Fact and Conclusions of Law by the Franklin Circuit Court, <i>Baze v. Rees</i> , Civ. A. No. 04-CI-01094 (Franklin Cir. Ct. July 8, 2005)
Newspaper articles on execution of Joseph Clark
Kentucky Supreme Opinion, <i>Baze v. Rees</i> , 2005-SC-0543-MR (Ky. Nov. 11, 2006) 798
Volume III
Department of Corrections' 2004 Response to Open Records Request by David M. Barron

PLAINTIFFS' TRIAL EXHIBITS

Pls. Ex. 3 Chemical disposition record and I.V. Site Placement form for execution of Eddie Harper	.20
Date Harper	00
Pls. Ex 4 Diagram of execution chamber 8	33
Pls. Ex. 6 Autopsy on Eddie Harper 8	34
Pls. Exs. 9 and 25 Photocopies of bottles of lethal injection chemicals and label 8	44
Pls. Ex 24 Technical Report: The effect of pancuronium on the solubility of acqueous thiopentone	48
Pls. Exs. 30 and 31 Thiopental graphs 8	51
DEFENDANTS' TRIAL EXHIBITS	
Defs. Ex. 2 Article: Drug and chemical blood-level data 2001 8	53
Defs. Ex. 6 Graph · · probability of consciousness	56
Defs. Ex. 7 Graph · · thiopental concentration	57
Under Seal Volume IV	
Execution Protocol at the time of the	

execution of Eddie Harper (in effect 1999).. 858

2004 Kentuck	су Ехеси	tion Protocol.	***************************************	884				
•		Execution		971				
Revisions								
2004 Kentucl	cy Execu	tion Protocol.		970				
		Execution		971				

KENTUCKY STATE PENITENTIARY

VISITING SCHEDULE FOR DEATH ROW INMATE

PRE-EXECUTION (DEATH WATCH)

ATTORNEYS/PARALEGALS

REVISED 12/14/2004

DAILY.

_ TO

CONTACT

24-HOUR ACCESS IN EVENT OF EMERGENCIES

PERSONAL VISITORS

DAILY BY APPOINTMENT

TO

CONTACT

DAY OF SCHEDULED EXECUTION

TO:

CONTACT

MINISTERS

MONDAY THROUGH FRIDAY

TO.

INSTITUTIONAL CHAPLAIN

TO

NEWS MEDIA

MONDAY THROUGH FRIDAY

ТО

CONTACT

BY SPECIAL ARRANGEMENTS ONLY

VISITATION GUIDELINES

ANY ITEM BROUGHT IN BY ATTORNEYS/PARALEGALS, MINISTERS, OR NEWS MEDIA SUCH AS, BUT NOT LIMITED TO, CASSETTES, WIRELESS MIKES, BOOKS, OR MAIL MUST BE APPROVED IN ADVANCE BY THE WARDEN. NO ITEMS WILL BE ALLOWED IN BY PERSONAL VISITORS.

- 1. VISITS WILL BE CONDUCTED AT A DESIGNATED LOCATION.
- 2. NO MORE THAN FOUR VISITORS AT A TIME.
- 3. THE WARDEN RESERVES THE RIGHT TO DENY ACCESS TO THE INSTITUTION, ANY VISITOR OR PERSON, HE DEEMS A RISK TO THE SECURITY OF THE INSTITUTION.

PRE-EXECUTION MEDICAL ACTIONS CHECKLIST

ACTIONS TAKEN AFTER RECEIVING EXECUTION ORDER

ACTIONS	IONS	RESPONSIBILITY	COMPLETED/DATE/TIME
	Notify Department of Corrections		
	and		
	of receipt of Governor's		
	Death Warrant (immediately).		
2.	Begin a special section of condemned's		
	medical record for all medical actions		
	(X-14 days).		
. ယ	Nurse visits and checks on the condemned		
-	each shift, seven days a week, using the special	ecial .	
	medical section to record contacts and		
•	observations (X - 14 days).		

PRE-EXECUTION MEDICAL ACTIONS CHECKLIST ACTIONS TAKEN AFTER RECEIVING EXECUTION ORDER PAGE 2 of 4

•
REVISED
12/14/2004

C	ACTIONS	RESPONSIBILITY	COMPLETED/DATE/TIME
.	personally observes and		
	evaluates the condemned five (5) days		
	per week, Monday through Friday		
	(X - 14 days).		
Ç	Place the		
	in the permanent record immediately		
	after personal contact.		
, or	Department of Corrections		
	or his designee reviews and initials nursing	(G	•
,	documentation in #3 daily (X - 14 days).		
7.	≠eviews nursing and doctor's	٠.	
	documentation weekly.		

PRE-EXECUTION MEDICAL ACTIONS CHECKLIST

CTIONS TAKEN AFTER RECEIVING EXECUTION ORDER AGE 3 of 4	
	REVISED 12/14/2004
CTIONS	RESPONSIBILITY COMPLETED/DATE/TIME
Physical examination is completed by the	
or his designee	
no later than seven (7) days prior to	
execution.	
Place the physical in the permanent	
medical record upon completion.	
evaluation is completed	
by no later than seven	
(7) days prior to execution.	
Place the psychiatric interview and	
psychiatric evaluation in the permanent	
medical record and send copies to the	
Warden.	

condition.

PRE-EXECUTION MEDICAL ACTIONS CHECKLIST ACTIONS TAKEN AFTER RECEIVING EXECUTION ORDER PAGE 4 of 4

COMPLETED AT TENTE	RESPONSIBILITY		ACTIONS
REVISED 12/14/2004			FAGE 4 01 4
	TACTA A SAME TALL A BANK NEW COLLEGE BANK OLD COLOR ORDER	CANADA A CARA A RESEARCH	

14. 12. personally observes and evaluates the notify the Warden, I Notify all medical staff to immediately designee notes in the permanent record Place the condemned's medical condition weekly. in the inmate's medical or psychiatric immediately after personal contact. or designee, and of any change or his designee or his RESPONSIBILITY COMPLETED/DATE/TIME

THE EXECUTION LETHAL INJECTION

RESPONSIBILITY

SEQUENCE OF EVENTS

chamber and strapped to the gurney.

condemned escorted to the execution

the Warden orders the

REVISED 12/14/2004

COMPLETED/DATE/TIME

4	•				ω			2.
The invertion vite of preference shall be	suitable by the team members.	one (1) backup IV line in a location deemed	site and insert one (1) primary IV line and	the IV lines to the condemned inmate,	The team enters the chamber and runs	the IV lines.	of the execution team who site and insert	The IV team members will be the members

the following order: arms, hands, ankles

and/or feet, neck.

THE EXECUTION: LETHAL INJECTION Page 2 of 9

REVISED 12/14/2004

SEO	SEQUENCE OF EVENTS	RESPONSIBILITY	COMPLETED/DATE/TIME
Ş	To best assure that a needle is inserted		
	properly into a vein, the IV team members		
	should look for the presence of blood		
	in the valve of the sited needle.		
6	If the IV team cannot secure one (1) or		
	more sites within one (1) hour, the Governor's		
	Office shall be contacted by the Commissioner		
· •	and a request shall be made that the execution		
	be scheduled for a later date.		
7.	The team will start a saline flow.		
œ	The team will securely connect the		
	electrodes of the cardiac monitor to the		
	inmate and ensure the equipment is	•	
•	functioning.		

THE EXECUTION: LETHAL INJECTION

<u>اسا</u> اسما • 12 10. SEQUENCE OF EVENTS The Warden will make one final check The Warden will confirm that all The team leader will recheck all The Deputy Warden will open the chamber. is ready. secure and so advise the Warden. The team will then move to the curtain and turn on the microphone. with the attorneys stationed outside the restraints and determine they are hallway and stand by. RESPONSIBILITY COMPLETED/DATE/TIME

Sodium Thiopental (3 gm.)

That the condemned is not unconscious

NOTE: If it appears to the Warden

THE EXECUTION: LETHAL INJECTION Page 4 of 9

REVISED 12/14/2004

	SEO	SEQUENCE OF EYENTS	RESPONSIBILITY	COMPLETED/DATE/TIME
,	14	The Warden states, "At this time		
		we will carry out the legal execution		•
		of(condemned name)."		
•	15.	The Warden asks the condemned if he		
		wants to make a final statement		
	•	(two (2) minutes allowed).		
	16.	Upon the Warden's order to "proceed"		·
		and the microphone turned off, a designated	ă.	
	. ,	team member will begin a rapid flow of lethal	thai	
		chemicals in the following order:		

Page 5 of 9 THE EXECUTION: LETHAL INJECTION

REVISED 12/14/2004

SEQUENCE OF EVENTS

RESPONSIBILITY

COMPLETED/DATE/TIME

site and order that the backup IV be within 60 seconds to his command to "proceed", the Warden shall stop the used with a new flow of Sodium Thiopental. flow of Sodium Thiopental in the primary

- Saline (25 mg.)
- Pancuronium Bromide (50 mg)
- Saline 25 (mg)
- Potassium Chloride (240 meq).
- a stopwatch once the lethal injections A designated team member will begin

are complete. If the heart monitor does

SEQUENCE OF EVENTS

not indicate a flat line after ten (10)

Page 6 of 9

RESPONSIBILITY

COMPLETED/DATE/TIME

Potassium Chloride). This process will Thiopental, Pancuronium Bormide, and chemicals to be administered (Sodium the Warden will order a second set of lethal and coroner are not able to pronounce death, minutes and if during that time the physician continue until death has occurred.

<u>.</u> electrical activity of the heart physician of cessation of the heart monitor and advise the A designated team member will observe

THE EXECUTION: LETHAL INJECTION Page 7 of 9

SEQUENCE OF EVENTS RESPONSIBILITY COMPLETED/DATE/TIME **REVISED 12/14/2004**

20. The curtain will then be opened. and states: "At approximately___p.m. The curtains shall be drawn when the Physician and coroner enter the chamber the execution of and so advise the Warden. the condemned's pulse and pupils and confirm death by checking The microphone is turned off and the of the Commonwealth of Kentucky". carried out in accordance with the laws The Warden turns on the microphone curtains will be drawn. Was

THE EXECUTION: LETHAL INJECTION . Page 8 of 9

for departure. 24. Release body per prior arrangements. 25. Funeral director completes death certificate. 26. Not more than one (1) day after execution, the Warden shall return the copy of the judgment of the court pronouncing the		•		for departure.	_	23. The team will prepare the body	witnesses.	immate's witnesses, and then the victim's	of the witness room, first the media,	22. The witnesses are escorted out	SEQUENCE OF EVENTS RESPONSIBILITY COMPLET	
											COMPLETED/DATE/TIME	

THE EXEC	THE EXECUTION: LETHAL INJECTION Page 9 of 9		REVISED 12/14/2004
SEOL	SEQUENCE OF EVENTS	RESPONSIBILITY	COMPLETED/DATE/TIME
27.	Close out inmate account during		
	next business day.		
28.	Contact individual designated to		
	receive condemned's personal property		
	for pick up of property the next		
	business day.		
29.	Compile all documents pertaining to		
	Execution and place in inmate file.		

EXECUTION TEAM QUALIFICATIONS

- The following people with at least one year of professional experience may be on the IV team:
 - a) Certified Medical Assistant, or
 - b) Phlebotomist, or
 - c) Emergency Medical Technician, or
 - d) Paramedic, or
 - e) Military Corpsman
- 2. Prior to participating in an actual execution, the member of the IV team must have participated in at least two (2) practices.
- Members of the IV team must remain certified in their profession and must fulfill any continuing education requirements in their profession.
- 4. The execution team shall practice at least ten (10) times during the course of one (1) calendar year.
- 5. Each practice shall include a complete walk through of an execution including the siting of two (2) IVs into a volunteer.
- 6. Execution team members, excluding IV team members, must have participated in a minimum of two (2) practices prior to participating in an actual execution.

STABALIZATION PROCEDURE AFTER THE EXECUTION HAS COMMENCED

- In the event that a stay is issued after the execution has commenced, the execution team will stand down and medical staff on site will attempt to stabilize the condemned with the below listed equipment and personnel.
 - A. The Warden will arrange for an ambulance and staff to be present on institutional property.
 - B. A medical crash cart and defibrillator shall be located in the execution building.