

LIST OF CHAPTERS

INTRODUCTIONS

	Introduction I	INT-1
	<i>Justice Monica M. Márquez</i>	
	Introduction II	INT-5
	<i>Judge Michael H. Berger</i>	
	Introduction III	INT-15
	<i>Magistrate Judge Craig Schaffer</i>	
Chapter 1	MANDATORY DISCLOSURES, CASE MANAGEMENT, AND DISCOVERY STRATEGIES	1
	<i>Mag. Judge Nina Y. Wang</i>	
Chapter 2	INTERROGATORIES	23
	<i>Steven Gutierrez, Esq.</i>	
Chapter 3	PRODUCTION OF DOCUMENTS AND ELECTRONICALLY-STORED INFORMATION (ESI)	61
	<i>Kenzo Kawanabe, Esq.</i>	
	<i>Jason M. Lynch, Esq.</i>	
	<i>Tess Hand-Bender, Esq.</i>	
Chapter 4	INSPECTION OF TANGIBLE THINGS, ENTRY ON LAND, AND MEDICAL EXAMINATIONS	121
	<i>Michael J. Hofmann, Esq.</i>	
	<i>Adam L. Fonta, Esq.</i>	
Chapter 5	REQUESTS FOR ADMISSION	133
	<i>Stacy A. Carpenter, Esq.</i>	
	<i>Thomas H. Wagner, Esq.</i>	
Chapter 6	EX PARTE CONTACT WITH WITNESSES	145
	<i>Regina M. Rodriguez, Esq.</i>	
	<i>Shelby L. Martin, Esq.</i>	

Chapter 7	DEPOSITIONS	159
	<i>Natalie Hanlon-Leh, Esq.</i>	
Chapter 8	DISCOVERY RELATING TO EXPERTS	189
	<i>Paul H. Schwartz, Esq.</i>	
	<i>Jonathan A. Helfgott, Esq.</i>	
Chapter 9	PROTECTIVE ORDERS AND CONFIDENTIALITY	211
	<i>Christopher P. Beall, Esq.</i>	
Chapter 10	ATTORNEY-CLIENT PRIVILEGE	223
	<i>Christopher Leh, Esq.</i>	
Chapter 11	WORK PRODUCT IMMUNITY	281
	<i>Lino S. Lipinsky de Orlov, Esq.</i>	
	<i>Lauren P. Carboni, Esq.</i>	
	<i>Sean D.G. Camacho, Esq.</i>	
Chapter 12	OTHER DISCOVERY PRIVILEGES	297
	<i>Charlotte N. Sweeney, Esq.</i>	
	<i>Ariel B. DeFazio, Esq.</i>	
Chapter 13	DISCOVERY ABUSE AND SANCTIONS	325
	<i>Christina M. Habas, Esq.</i>	
	SUBJECT INDEX	363

TABLE OF CONTENTS

INTRODUCTIONS

Introduction I—CIVILITY AND PROFESSIONALISM IN DISCOVERY	INT-1
---	--------------

Introduction II—2015 AMENDMENTS TO THE COLORADO RULES OF CIVIL PROCEDURE — THE MOST SIGNIFICANT CHANGES	INT-5
--	--------------

Introduction III—DISCOVERY UNDER THE FEDERAL RULES OF CIVIL PROCEDURE	INT-15
--	---------------

Chapter 1	MANDATORY DISCLOSURES, CASE MANAGEMENT, AND DISCOVERY STRATEGIES	1
------------------	---	----------

§ 1.1	CASE MANAGEMENT RULES	2
--------------	------------------------------	----------

§ 1.1.1—Contrast of State and Federal Rules	2
---	---

§ 1.1.2—C.R.C.P. 16, 16.1, and 26	3
-----------------------------------	---

§ 1.2	STATE DISCLOSURE AND CASE MANAGEMENT TIMETABLE	7
--------------	---	----------

§ 1.3	FEDERAL DISCLOSURES AND SCHEDULING ORDERS	10
--------------	--	-----------

§ 1.3.1—Timing	10
----------------	----

§ 1.3.2—Rule 26(f) Conference	11
-------------------------------	----

§ 1.3.3—Initial Disclosures	12
-----------------------------	----

§ 1.4	COURTS RETAIN AUTHORITY TO MODIFY REQUIREMENTS/GOOD CAUSE	14
--------------	--	-----------

§ 1.5	WHEN DISCOVERY BEGINS	15
--------------	------------------------------	-----------

§ 1.6	PRESUMPTIVE LIMITS ON DISCOVERY	16
	§ 1.6.1—Colorado	16
	§ 1.6.2—Federal	17
§ 1.7	STRATEGIES FOR EFFECTIVE CASE MANAGEMENT/SCHEDULING CONFERENCES . . .	18
§ 1.8	STRATEGIES FOR DISCOVERY OF ELECTRONIC DISCOVERY	19
§ 1.9	STRATEGIES TO ADDRESS PROPORTIONALITY	20
§ 1.10	STRATEGIES FOR PROMPT SUPPLEMENTATION	21
Chapter 2	INTERROGATORIES	23
§ 2.1	EFFECTIVE USE OF INTERROGATORIES	24
§ 2.2	COUNTING INTERROGATORIES AND PATTERN INTERROGATORIES	26
§ 2.3	WAIVER OF OBJECTIONS	29
§ 2.4	GENERAL OBJECTIONS	30
§ 2.5	OBJECTIONS: BURDENSOME	32
§ 2.6	OBJECTIONS: OVERBROAD	35
§ 2.7	OBJECTIONS: VAGUE OR AMBIGUOUS	37
§ 2.8	OBJECTIONS: RELEVANCE	38
§ 2.9	OBJECTIONS: PRIVACY AND CONFIDENTIALITY	38

Table of Contents

§ 2.10	OBJECTIONS: ARGUMENTATIVE QUESTIONS	40
§ 2.11	OBJECTIONS TO THE ENTIRE SET	40
§ 2.12	OBJECTIONS TO DEFINITIONS AND INSTRUCTIONS	41
§ 2.13	OTHER OBJECTIONS	41
§ 2.14	SCOPE OF THE ANSWERS	42
§ 2.15	INVESTIGATION REQUIRED	43
§ 2.16	BUSINESS RECORDS	45
§ 2.17	FACTS WITHIN THE DISCOVERER'S KNOWLEDGE	47
§ 2.18	CONTENTIONS AND OPINIONS	48
§ 2.19	PROPER FORM OF ANSWER	50
§ 2.20	REFERENCE TO DEPOSITION TESTIMONY	51
§ 2.21	REFERENCE TO THE PLEADINGS	52
§ 2.22	EVASIVE ANSWERS	52
§ 2.23	ANSWERS "ON INFORMATION AND BELIEF"	53
§ 2.24	LACK OF KNOWLEDGE	54
§ 2.25	DISCLOSURE OF EXPERTS	54
§ 2.26	WRITING RULE 121 LETTERS FOR NON-RESPONSIVE ANSWERS	55
§ 2.27	MOTIONS TO COMPEL	58

§ 2.28	SUPPLEMENTATION	58
§ 2.29	USE OF INTERROGATORY ANSWERS AT TRIAL	59

Chapter 3	PRODUCTION OF DOCUMENTS AND ELECTRONICALLY-STORED INFORMATION (ESI)	61
------------------	--	-----------

§ 3.1	INTRODUCTION	62
§ 3.2	DUTY TO PRESERVE DOCUMENTS	63
	§ 3.2.1—When Does the Duty to Preserve Arise?	63
	§ 3.2.2—What is the Scope of the Duty to Preserve?	65
	§ 3.2.3—When Does the Duty to Preserve End?	67
§ 3.3	REQUIREMENTS OF RULE 34	68
	§ 3.3.1—Scope of Document Production: “Documents”	68
	§ 3.3.2—Scope of Document Production: “Possession and Control”	70
	§ 3.3.3—Scope of Rule of Proportionality and Inaccessible Electronic Information	70
§ 3.4	CONFERRAL ON PRODUCTION AND ESI PROTOCOL	73
	§ 3.4.1—Required Conferral Under Federal and State Rules	73
	§ 3.4.2—Production Formats and Search Methodologies	74
	§ 3.4.3—Claw Back Procedures	75
§ 3.5	MAKING REQUESTS FOR PRODUCTION	77
	§ 3.5.1—Reasonable Particularity	77
	§ 3.5.2—Number of Requests	78
	§ 3.5.3—Seven Principles for Effective Document Requests	78

Table of Contents

§ 3.6	RESPONDING TO REQUESTS FOR PRODUCTION	80
§ 3.6.1—	Making Objections	80
§ 3.6.2—	Objections Based on Burden and Expense	81
§ 3.6.3—	No Documents Found in Responding Party’s Possession and Control	82
§ 3.6.4—	Reliance Upon Documents Under Rule 33(d)	82
§ 3.7	MAKING THE PRODUCTION	84
§ 3.7.1—	Document Collection, Possession, Custody, and Control	84
§ 3.7.2—	Review	84
§ 3.7.3—	Procedure for and Form of Production Generally	86
§ 3.7.4—	Production of Electronic Metadata	88
§ 3.7.5—	Production of Native Files	89
§ 3.7.6—	Privilege and Privilege Logs	90
§ 3.8	ENFORCEMENT AND SANCTIONS	91
§ 3.8.1—	Failure to Produce	91
§ 3.8.2—	Failure to Preserve ESI and Spoliation	92
EXHIBITS		
Exhibit 3A—	Guidelines Addressing the Discovery of Electronically Stored Information	95
Exhibit 3B—	Checklist for Rule 26 Meet-and-Confer Regarding Electronically Stored Information	109
Exhibit 3C—	Document Production Stipulation	113

Chapter 4	INSPECTION OF TANGIBLE THINGS, ENTRY ON LAND, AND MEDICAL EXAMINATIONS	121
------------------	---	------------

§ 4.1	INSPECTION OF TANGIBLE THINGS	121
§ 4.1.1	Content of the Request to Inspect	123
§ 4.1.2	The Response to Request to Inspect	123
§ 4.1.3	Destructive Testing	124
§ 4.2	ENTRY ON LAND	127
§ 4.2.1	Nonparties	127
§ 4.3	PHYSICAL AND MENTAL EXAMINATIONS OF PERSONS	128
§ 4.3.1	In Controversy Requirement	128
§ 4.3.2	Good Cause Requirement	129
§ 4.3.3	Order of Examination	129
§ 4.3.4	The Examination	129
§ 4.3.5	Multiple Examinations	130
§ 4.3.6	Report of Examiner	131
§ 4.3.7	Sanctions	132

Chapter 5	REQUESTS FOR ADMISSION	133
------------------	-------------------------------	------------

§ 5.1	IN GENERAL	133
§ 5.2	PURPOSE AND NATURE OF REQUESTS	134
§ 5.3	RESPONDING TO REQUESTS FOR ADMISSION	135
§ 5.4	AMENDMENT OR WITHDRAWAL OF AN ADMISSION	137
§ 5.5	FAILURE TO RESPOND — DEEMED ADMISSIONS	138

Table of Contents

§ 5.6	INSUFFICIENT AND EVASIVE RESPONSES	139
§ 5.7	PRACTICAL SUGGESTIONS	140
§ 5.8	ENFORCEMENT OF RULE 36	143
Chapter 6	<i>EX PARTE</i> CONTACT WITH WITNESSES	145
§ 6.1	INTRODUCTION	145
§ 6.2	CURRENT AND FORMER EMPLOYEES OF AN OPPOSING PARTY	147
	§ 6.2.1—Colorado Rule of Professional Conduct 4.2	147
	§ 6.2.2—CBA Ethics Committee Formal Opinion 69	149
§ 6.3	CURRENT AND FORMER EMPLOYEES AND OFFICIALS OF A GOVERNMENTAL ENTITY	150
	§ 6.3.1—Colorado Rule of Professional Conduct 4.2 and CBA Ethics Committee Formal Opinion 93	150
	§ 6.3.2—Seeking Testimony or Documents from Federal Government Pursuant to <i>Touhy</i> Regulations	152
§ 6.4	REPRESENTED PERSONS DURING CRIMINAL AND CIVIL REGULATORY INVESTIGATIONS AND PROCEEDINGS	154
§ 6.5	TREATING PHYSICIANS	154
§ 6.6	INSURANCE ADJUSTERS	155
§ 6.7	PUTATIVE CLASS MEMBERS	156

Chapter 7	DEPOSITIONS	159
§ 7.1	DEPOSITIONS AS DISCOVERY	160
§ 7.2	PRACTICAL CONCERNS IN CONDUCTING A DEPOSITION	161
	§ 7.2.1—Number of Depositions	161
	§ 7.2.2—Scheduling	162
	§ 7.2.3—Allotted Time	164
	§ 7.2.4—Location of Deposition of a Party	164
	§ 7.2.5—Deposing a Third Party	165
	§ 7.2.6—Means of Recordation	167
	§ 7.2.7—Translators	168
	§ 7.2.8—Costs	169
§ 7.3	PREPARING FOR AND DEFENDING A DEPOSITION	170
§ 7.4	WAIVER OR NON-WAIVER OF OBJECTIONS	171
§ 7.5	OBJECTIONS TO THE FORM	172
§ 7.6	REFUSAL TO ANSWER	173
§ 7.7	ABUSIVE AND DISRUPTIVE TACTICS	174
§ 7.8	RULE 30(b)(6) DEPOSITIONS	175
	§ 7.8.1—Advantages of Taking a Rule 30(b)(6) Deposition	176
	§ 7.8.2—Obligations for a Rule 30(b)(6) Deposition	177
	§ 7.8.3—Rule 30(b)(6) Deposition Testimony as Admission of Corporation	179
	§ 7.8.4—Length of Rule 30(b)(6) Deposition	180

Table of Contents

§ 7.9	EXPERT DEPOSITIONS	181
	§ 7.9.1—Expert Deposition Practicalities	181
	§ 7.9.2—Scope of Expert Testimony	181
	§ 7.9.3—Expert Testimony and Attorney Work Product ...	182
§ 7.10	DEPOSING THE OPPOSING ATTORNEY	182
§ 7.11	USE OF DEPOSITIONS AT TRIAL	183
	§ 7.11.1—Allowable Uses of Deposition Testimony	183
	§ 7.11.2—Objections to Testimony	184
§ 7.12	PRESERVATION DEPOSITIONS	185
§ 7.13	CHANGES SUBMITTED BY THE WITNESS	186
Chapter 8	DISCOVERY RELATING TO EXPERTS	189
§ 8.1	THE RULES’ BASIC APPROACH	190
§ 8.2	DIFFERENT TYPES OF EXPERTS	190
§ 8.3	MANDATORY EXPERT DISCLOSURE	192
	§ 8.3.1—Form of Disclosure	192
	§ 8.3.2—What the Disclosure Must Contain (Expert Reports and Statements by Counsel)	192
	§ 8.3.3—Order of Disclosures	196
	§ 8.3.4—Timing of Disclosures	197
	§ 8.3.5—Exceptions in the Case of Court Order or Stipulation	198
	§ 8.3.6—Completeness of Disclosures	198
	§ 8.3.7—The Expert’s File	199

§ 8.4	DISCOVERY BEYOND THE MANDATORY DISCLOSURES	200
§ 8.4.1—	General Principles: Relevance and Proportionality	201
§ 8.4.2—	Testifying Versus Consulting Experts	201
§ 8.4.3—	Work Product and Related Protections for Drafts and Other Attorney-Expert Communications	202
§ 8.4.4—	Expert Depositions	204
§ 8.4.5—	Timing Matters	207
§ 8.4.6—	Dual Fact/Expert Witnesses	207
§ 8.5	EXPERT FEES AND COSTS	207
§ 8.6	OBLIGATION TO SUPPLEMENT	209
Chapter 9	PROTECTIVE ORDERS AND CONFIDENTIALITY	211
§ 9.1	CONFIDENTIALITY ORDERS: THE PROBLEM	211
§ 9.2	CONFIDENTIALITY ORDERS: THE LEGAL STANDARD	215
§ 9.3	PROTECTIVE ORDERS BARRING DISCOVERY ENTIRELY	218
§ 9.4	PROTECTIVE ORDERS LIMITING OR PROHIBITING USE IN OTHER CASES	219
§ 9.5	SEALING THE TRIAL COURT RECORD	221
Chapter 10	ATTORNEY-CLIENT PRIVILEGE	223
§ 10.1	BACKGROUND OF THE ATTORNEY-CLIENT PRIVILEGE IN DISCOVERY	224
§ 10.1.1—	Purpose of the Attorney-Client Privilege	224
§ 10.1.2—	Applicable Law	227

Table of Contents

§ 10.2	ELEMENTS OF THE ATTORNEY-CLIENT PRIVILEGE	229
§ 10.2.1—	General Principles	229
§ 10.2.2—	Element 1: Communications	231
§ 10.2.3—	Element 2: Privileged Persons or Entities	232
§ 10.2.4—	Element 3: In Confidence	239
§ 10.2.5—	Element 4: For the Purpose of Seeking or Obtaining Legal Assistance	241
§ 10.3	WAIVER OF THE ATTORNEY-CLIENT PRIVILEGE	244
§ 10.3.1—	Waiver Generally	244
§ 10.3.2—	Waiver Based on Disclosure to Third Parties	248
§ 10.3.3—	Implied Waiver by Placing an Attorney-Client Privileged Communication into Issue	250
§ 10.3.4—	Extent of Waiver	253
§ 10.3.5—	Inadvertent Disclosure	255
§ 10.4	EXTENSIONS OF THE PRIVILEGE BASED ON THE JOINT-DEFENSE PRIVILEGE OR THE COMMON INTEREST DOCTRINE	259
§ 10.4.1—	Joint-Defense Privilege	260
§ 10.4.2—	Common Interest Rule Doctrine	261
§ 10.5	EXCEPTIONS TO THE ATTORNEY-CLIENT PRIVILEGE	264
§ 10.5.1—	Crime-Fraud Exception	264
§ 10.5.2—	<i>Garner</i> Doctrine	268
§ 10.5.3—	Fiduciary Exception	269
§ 10.5.4—	Testamentary Exception	270

§ 10.6	INVOKING AND CHALLENGING THE ASSERTION OF THE ATTORNEY-CLIENT PRIVILEGE	270
§ 10.6.1	—Standing to Assert the Attorney-Client Privilege	271
§ 10.6.2	—Objections to Discovery Based on Attorney-Client Privilege	271
§ 10.6.3	—Motion Practice	275
§ 10.6.4	— <i>In Camera</i> Review	276
§ 10.6.5	—Appellate Review of Rulings Concerning the Attorney-Client Privilege	277
Chapter 11	WORK PRODUCT IMMUNITY	281
§ 11.1	<i>HICKMAN</i> v. <i>TAYLOR</i> AND RULE 26(b)(3)	281
§ 11.2	INAPPLICABLE TO BASIC DISCOVERY	283
§ 11.3	MATERIALS SUPPLIED TO EXPERTS	284
§ 11.4	EXISTENCE OF WORK PRODUCT IMMUNITY	286
§ 11.5	SCOPE OF WORK PRODUCT IMMUNITY	289
§ 11.6	INSURANCE CLAIM INVESTIGATIONS	291
§ 11.7	WAIVER OF IMMUNITY	293
§ 11.8	NON-WAIVER: COMMON INTEREST	293
§ 11.9	MENTAL IMPRESSIONS	294
§ 11.10	INADVERTENT DISCLOSURE TO AN EXPERT	295
§ 11.11	LIMITATIONS ON WAIVER	295

Chapter 12	OTHER DISCOVERY PRIVILEGES	297
§ 12.1	PRIVILEGES GENERALLY	298
§ 12.1.1	Privileges in Federal Court	299
§ 12.2	ACCOUNTANT-CLIENT PRIVILEGE	299
§ 12.2.1	Purpose and Statutory Provision	299
§ 12.2.2	Exceptions to the Privilege	300
§ 12.3	MARITAL PRIVILEGE	302
§ 12.3.1	Purpose and Statutory Provision	302
§ 12.3.2	Waiver of the Privilege	303
§ 12.4	PHYSICIAN-PATIENT PRIVILEGE	304
§ 12.4.1	Purpose and Statutory Provision	304
§ 12.4.2	Exceptions to the Privilege	306
§ 12.4.3	Waiver of the Privilege	307
§ 12.4.4	Patient Records	308
§ 12.5	THERAPIST-PATIENT PRIVILEGE	311
§ 12.5.1	Purpose and Statutory Provision	311
§ 12.5.2	Exceptions to the Privilege	312
§ 12.5.3	Waiver of the Privilege	312
§ 12.6	MEDICAL PEER REVIEW PRIVILEGE	313
§ 12.7	MEDICAL QUALITY ASSURANCE PRIVILEGE	314
§ 12.8	SELF-CRITICAL ANALYSIS PRIVILEGE	315
§ 12.8.1	The Privilege Generally	315
§ 12.8.2	Colorado Law	317

§ 12.9	OTHER STATUTORY PRIVILEGES IN COLORADO	318
§ 12.10	PROTECTIONS FOR PERSONAL AND FINANCIAL INFORMATION	319
	§ 12.10.1—Protections for Personal Information	319
	§ 12.10.2—Protections for Financial Information	323
Chapter 13	DISCOVERY ABUSE AND SANCTIONS	325
§ 13.1	WHAT IS DISCOVERY ABUSE?	326
§ 13.2	WHAT CAUSES DISCOVERY ABUSE?	327
§ 13.3	THE FIRST QUESTION: WHAT IS THE SCOPE OF DISCOVERY?	329
	§ 13.3.1—Colorado	330
	§ 13.3.2—U.S. District Court for the District of Colorado	332
§ 13.4	ABUSE IN THE DISCLOSURE PROCESS	332
	§ 13.4.1—Initial and Supplemental Disclosures	334
	§ 13.4.2—Expert Disclosures	337
	§ 13.4.3—Identity of Witnesses	343
§ 13.5	REFUSAL TO COOPERATE OR RESPOND	345
	§ 13.5.1—Scheduling Depositions	346
	§ 13.5.2—Rule 35 Medical Examinations	347
	§ 13.5.3—Answering Written Discovery	347
	§ 13.5.4—Answering Questions/Instructions not to Answer Questions in Deposition	348
	§ 13.5.5—Unprepared 30(b)(6) Deponent	349
	§ 13.5.6—Noticing Unnecessary or Improper Depositions	350

Table of Contents

§ 13.6	MISLEADING INFORMATION PROVIDED	352
§ 13.7	VIOLATION OF COURT ORDERS	353
§ 13.8	RULE 37 SANCTIONS AVAILABLE	353
	§ 13.8.1—On a Motion to Compel	354
	§ 13.8.2—For an Unwarranted Motion to Compel	355
	§ 13.8.3—Procedures	355
	§ 13.8.4—Sanctions Against Governmental Entities	357
	§ 13.8.5—Sanctions Against a Corporate Officer	357
§ 13.9	NON-MONETARY SANCTIONS AVAILABLE	358
	§ 13.9.1—Issue and Evidence Preclusion	358
	§ 13.9.2—Adverse Inference/Spoilation	359
	§ 13.9.3—Independent Causes of Action	360
	§ 13.9.4— <i>Laches</i>	360
SUBJECT INDEX		363

