

Guidelines for Agreed Protective Orders For the District of Kansas

Procedure for Requesting Entry of a Protective Order

Agreed Protective Orders

In certain cases, the parties may agree that discovery should be governed by a protective order limiting the disclosure, use, and dissemination of confidential information. If the parties agree concerning the need for a protective order and its scope and form, their counsel should confer and either (1) e-mail a copy of their jointly-proposed protective order (in WordPerfect or Word format) to KSD_<Judge's Last Name>chambers@ksd.uscourts.gov, or (2) file a joint motion for protective order with the parties' proposed protective order attached as an exhibit to the motion. If the parties choose to file a joint motion for protective order, they must also e-mail a copy of their jointly-proposed protective order (in WordPerfect or Word format) to KSD_<Judge's Last Name>chambers@ksd.uscourts.gov. If satisfactory, the court will sign and enter the proposed protective order. If not satisfactory, the court will deny the motion, notify counsel of any objectionable language or provisions, or modify and enter a revised protective order. Counsel and all unrepresented parties submitting an agreed protective order must affix their signatures in accordance with section II(C) of the court's civil administrative procedures. The court's administrative procedures, as well as a model form Protective Order are available on the court's website at: <http://www.ksd.uscourts.gov>.

Disputed Protective Orders

If the parties disagree concerning the need for a protective order and/or its scope or language, the party or parties seeking such an order should file an appropriate motion (with the proposed protective order attached) and supporting memorandum by the date provided in the Scheduling Order. Where there is an objection based upon the scope or form of a proposed order, the party or parties opposing the motion shall, as part of their written response to the motion, provide the court with proposed language that they believe would resolve their specific objections to the proposed order.

Guidelines for Proposed Protective Orders

The following guidelines have been developed to assist the parties in drafting stipulated or agreed protective orders:

1. Recitation of Facts Showing Good Cause Under Fed. R. Civ. P. 26(c)

As indicated in the Scheduling Order, any jointly-proposed protective order must include a concise but sufficiently specific recitation of the particular facts in the case that would provide the court with an adequate basis upon which to make the required finding of good cause pursuant to Fed. R. Civ. P. 26(c).

2. Scope of the Protective Order

The protective order must be narrowly tailored and not overbroad. It should include a sufficiently narrow identification of the categories of documents, information, items, or materials (which may include electronically created or stored information) that are subject to the protective order. Some examples are medical records, personnel files, and tax returns.

Language such as “this protective order shall apply to all documents the party designates as confidential” or “this protective order shall apply to all business records” would be deemed too vague and overbroad. The protective order should clearly reflect that its provisions only apply to the named categories of documents, information, items, or materials specifically set forth in the protective order. The protective order should not cover information or documents that are available to the public or that have not been previously maintained in a confidential manner.

3. Provisions for Filing Documents Containing Confidential Information Under Seal

The protective order should not contain a blanket “filing under seal” provision that requires or allows the parties to file documents containing confidential information under seal without the court’s permission. If the parties wish to include a provision for filing confidential materials under seal, then the protective order should state that the party seeking to file confidential information must first file a motion with the court and be granted leave to file the particular document under seal. *See* D. Kan. Rule 5.4.6(a) (setting forth the procedure for requesting leave to file a document under seal). The mere designation of information as confidential pursuant to the parties’ protective order may not be sufficient to satisfy the court’s requirements for filing it under seal in light of the public’s qualified right to access to court dockets. Before filing a motion for leave to file under seal, the parties should consider other steps to prevent the unnecessary disclosure confidential information in court filings such as filing a redacted document or other means short of filing under seal

4. Application to Non-Parties

The protective order should refrain from stating that it is binding on non-parties or that the court has jurisdiction over non-parties to enforce the provisions of the protective order. The court

cannot order a non-party to abide by the terms of a protective order or to consent to jurisdiction. Although the protective order itself may not order a non-party to abide by the terms of the protective order, the parties may attach a form agreement to the proposed protective order. By signing the agreement, the non-party may agree to be bound by the terms of the protective order. The protective order may include provisions that protect confidential information, documents, and materials produced by a non-party or parties who are later added to the action. Any new party to the lawsuit must be given the opportunity to review the protective order and decide whether to join it.

5. Jurisdiction

Ordinarily the court's jurisdiction, including jurisdiction to enforce the protective order, is terminated upon final disposition of the case. The parties may, however, include a provision in the protective order that a party may seek leave to reopen the case to enforce the provisions of the protective order.

While the protective order should not state that the court has continuing jurisdiction over the protective order, the protective order may appropriately state that its provisions continue in force after termination of the litigation.

6. Instructions to the Clerk of the Court

The protective order should not direct the clerk of the court to return or destroy confidential documents that are filed in the case. This language conflicts with the policy of the clerk's office to not remove or destroy any documents filed in a case.

7. Court Personnel and Jury Members

The protective order should not state that it is binding on court personnel or members of the jury or should provide an exception for court personnel and members of the jury.

**UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF KANSAS**

INSTRUCTIONS FOR USE OF FORM PROTECTIVE ORDER

The following model form agreed Protective Order is provided for the convenience of counsel, the parties, and the court. It is not intended to create a presumption in favor of its provisions or against any alternative provisions or language proposed by the parties. The model order may be modified as appropriate for each specific case. Any additions, deletions, and modifications to the model order should comply with the written guidelines for agreed protective orders that are available on the court's website at:

<http://www.ksd.uscourts.gov/guidelines-for-agreed-protective-orders-district-of-kansas/>

The court will make the final decision on the terms of any protective order submitted notwithstanding the agreement of the parties. Counsel and all unrepresented parties submitting an agreed protective order must affix their signatures in accordance with section II(C) of the court's administrative procedures that are available at the court's website at:

<http://www.ksd.uscourts.gov/civil-cases-administrative-procedure-for-filing-signing-and-verifying-pleadings-and-papers-by-electronic-means/>.

The parties should use the following procedures to request an agreed protective order. If the parties agree on the scope and form of a protective order, they should confer and either (1) e-mail a copy of their jointly-proposed protective order (in MS Word or WordPerfect format) to *KSD_<Judge's Last Name>_chambers@ksd.uscourts.gov*, or (2) file a joint motion for protective order with the parties' proposed protective order attached as an exhibit to the motion. If the parties choose to file a joint motion for protective order, they should also e-mail a copy of their jointly-proposed protective order (in MS Word or WordPerfect format) to *KSD_<Judge's Last Name>_chambers@ksd.uscourts.gov*. If satisfactory, the court will sign the proposed protective order and cause it to be filed. If not satisfactory, the court will either (1) deny the motion and notify counsel of any objectionable language or provisions or (2) sign a modified order.

(Rev. ___/___/13)

UNITED STATES DISTRICT COURT
FOR THE DISTRICT OF KANSAS

_____,

Plaintiff(s),

v.

Case No. _____

_____,

Defendant(s).

PROTECTIVE ORDER

The parties agree that during the course of discovery it may be necessary to disclose certain confidential information relating to the subject matter of this action. They agree that certain categories of such information should be treated as confidential, protected from disclosure outside this litigation, and used only for purposes of prosecuting or defending this action and any appeals. The parties jointly request entry of this proposed Protective Order to limit the disclosure, dissemination, and use of certain identified categories of confidential information.

The parties assert in support of their request that protection of the identified categories of confidential information is necessary because _____.

[The parties should provide a concise but sufficiently specific recitation of the particular facts in the case that would warrant limiting disclosure and/or use of the information. This will provide the court with a basis upon which to make the required finding of good cause under Fed. R. Civ. P. 26(c).]

For good cause shown under Fed. R. Civ. P. 26(c), the court grants the parties' [joint

request] [Joint Motion for Protective Order (ECF No. ____)] and hereby enters the following Protective Order:

1. Scope. All documents and materials produced in the course of discovery of this case, including initial disclosures, responses to discovery requests, all deposition testimony and exhibits, and information derived directly therefrom (hereinafter collectively “documents”), are subject to this Order concerning Confidential Information as set forth below. As there is a presumption in favor of open and public judicial proceedings in the federal courts, this Order will be strictly construed in favor of public disclosure and open proceedings wherever possible.

2. Definition of Confidential Information. As used in this Order, “Confidential Information” is defined as information that the producing party designates in good faith has been previously maintained in a confidential manner and should be protected from disclosure and use outside the litigation because its disclosure and use is restricted by statute or could potentially cause harm to the interests of disclosing party or nonparties. For purposes of this Order, the parties will limit their designation of “Confidential Information” to the following categories of information or documents:

[The parties should identify the specific and narrow categories of information they seek to protect such as medical records, personnel files, tax returns, financial statements and records, proprietary business records, trade secrets, records whose disclosure is restricted or prohibited by statute, etc.]

Information or documents that are available to the public may not be designated as Confidential Information.

3. Form and Timing of Designation. The producing party may designate documents as containing Confidential Information and therefore subject to protection under this Order by marking or placing the words “CONFIDENTIAL - SUBJECT TO PROTECTIVE ORDER” (hereinafter “the marking”) on the document and on all copies in a manner that will not interfere with the legibility of the document. As used in this Order, “copies” includes electronic images, duplicates, extracts, summaries or descriptions that contain the Confidential Information. The marking will be applied prior to or at the time of the documents are produced or disclosed. Applying the marking to a document does not mean that the document has any status or protection by statute or otherwise except to the extent and for the purposes of this Order. Copies that are made of any designated documents must also bear the marking, except that indices, electronic databases, or lists of documents that do not contain substantial portions or images of the text of marked documents and do not otherwise disclose the substance of the Confidential Information are not required to be marked. By marking a designated document as confidential, the designating attorney or party appearing *pro se* thereby certifies that the document contains Confidential Information as defined in this Order.

4. Inadvertent Failure to Designate. Inadvertent failure to designate any document or material as containing Confidential Information will not constitute a waiver of an otherwise valid claim of confidentiality pursuant to this Order, so long as a claim of confidentiality is asserted within _____ days after discovery of the inadvertent failure.

5. Depositions. Deposition testimony will be deemed confidential only if designated as such when the deposition is taken or within a reasonable time period after receipt of the deposition transcript. Such designation must be specific as to the portions of the transcript and/or any exhibits to be protected.

6. Protection of Confidential Material.

(a) General Protections. Designated Confidential Information must be used or disclosed solely for purposes of prosecuting or defending this lawsuit, including any appeals, [or any other related legal proceeding brought by one of the parties to this litigation].

(b) Who May View Designated Confidential Information. Except with the prior written consent of the designating party or prior order of the court, designated Confidential Information may only be disclosed to the following persons:

[The parties should list out to whom confidential information may be disclosed. The following list contains commonly listed categories.]

- (1) The parties to this litigation, including any employees, agents, and representatives of the parties;¹
- (2) Counsel for the parties and employees and agents of counsel;
- (3) The court and court personnel, including any special master appointed by the court, and members of the jury;

¹If the confidential documents contain highly sensitive trade secrets or other highly sensitive competitive or confidential information and disclosure to another party would result in demonstrable harm to the disclosing party, then the parties may stipulate or move for the establishment of an additional category of protection, (e.g., Attorneys' Eyes Only) that prohibits disclosure of such documents or information to category or that limits disclosure only to specifically designated in-house counsel or party representative(s) whose assistance is reasonably necessary to the conduct of the litigation and who agree to be bound by the terms of the Order.

- (4) Court reporters, recorders, and videographers engaged for depositions;
- (5) Any mediator appointed by the court or jointly selected by the parties;
- (6) Any expert witness, outside consultant, or investigator retained specifically in connection with this litigation, but only after such persons have completed the certification contained in Attachment A, Acknowledgment and Agreement to be Bound;
- (7) Any potential, anticipated, or actual fact witness and his or her counsel, but only to the extent such confidential documents or information will assist the witness in recalling, relating, or explaining facts or in testifying, and only after such persons have completed the certification contained in Attachment A;
- (8) The author or recipient of the document (not including a person who received the document in the course of the litigation);
- (9) Independent providers of document reproduction, electronic discovery, or other litigation services retained or employed specifically in connection with this litigation; and
- (10) Other persons only upon consent of the producing party and on such conditions as the parties may agree.

(c) **Control of Documents.** The parties must take reasonable efforts to prevent unauthorized or inadvertent disclosure of documents designated as containing Confidential Information pursuant to the terms of this Order. Counsel for the parties must maintain a record of those persons, including employees of counsel, who have reviewed or been given access to the documents along with the originals of the forms signed by those persons acknowledging their obligations under this Order.

7. Filing of Confidential Information. In the event a party seeks to file any

document containing Confidential Information subject to protection under this Order with the court, that party must take appropriate action to insure that the document receives proper protection from public disclosure including: (a) filing a redacted document with the consent of the party who designated the document as confidential; (b) where appropriate (e.g., in relation to discovery and evidentiary motions), submitting the document solely for in camera review; or (c) when the preceding measures are inadequate, seeking permission to file the document under seal by filing a motion for leave to file under seal in accordance with D. Kan. Rule 5.4.6.

[The mere designation of information as confidential pursuant to the protective order provisions may not be sufficient to satisfy the court's requirements for filing it under seal in light of the public's qualified right to access to court dockets. Before filing a motion for leave to file under seal, the parties should consider other steps to prevent the unnecessary disclosure confidential information in court filings such as filed redacted documents or other means short of filing under seal.]

Nothing in this Order will be construed as a prior directive to allow any document to be filed under seal. The parties understand that the requested documents may be filed under seal only with the permission of the court after proper motion. If the motion is granted and the requesting party permitted to file the requested documents under seal, only counsel of record and unrepresented parties will have access to the sealed documents. Pro hac vice attorneys must obtain sealed documents from local counsel.

8. Challenges to a Confidential Designation. The designation of any material or document as Confidential Information is subject to challenge by any party. Before filing any motion or objection to a confidential designation, the objecting party must meet and

confer in good faith to resolve the objection informally without judicial intervention. A party that elects to challenge a confidentiality designation may file and serve a motion that identifies the challenged material and sets forth in detail the basis for the challenge. The burden of proving the necessity of a confidentiality designation remains with the party asserting confidentiality. Until the court rules on the challenge, all parties must continue to treat the materials as Confidential Information under the terms of this Order.

9. Use of Confidential Documents or Information at Trial or Hearing.

Nothing in this Order will be construed to affect the use of any document, material, or information at any trial or hearing. A party that intends to present or that anticipates that another party may present Confidential Information at a hearing or trial must bring that issue to the attention of the court and the other parties without disclosing the Confidential Information. The court may thereafter make such orders as are necessary to govern the use of such documents or information at the hearing or trial.

10. Obligations on Conclusion of Litigation.

(a) **Order Remains in Effect.** Unless otherwise agreed or ordered, all provisions of this Order will remain in effect and continue to be binding after conclusion of the litigation.

(b) **Return of Confidential Documents.** Within ____ days after this litigation concludes by settlement, final judgment, or final order, including all appeals, all documents designated as containing Confidential Information, including copies as defined above, must be returned to the party who previously produced the document unless: (1) the

document has been offered into evidence or filed without restriction as to disclosure; (2) the parties agree to destruction of the document to the extent practicable in lieu of return;² or (3) as to documents bearing the notations, summations, or other mental impressions of the receiving party, that party elects to destroy the documents and certifies to the producing party that it has done so.

(c) **Retention of Work Product.** Notwithstanding the above requirements to return or destroy documents, counsel may retain attorney work product, including an index which refers or relates to designated Confidential Information, so long as that work product does not duplicate verbatim substantial portions of the text or images of designated documents. This work product will continue to be confidential under this Order. An attorney may use his or her own work product in subsequent litigation provided that its use does not disclose Confidential Information.

11. Order Subject to Modification. This Order is subject to modification by the court on its own motion or on motion of any party or any other person with standing concerning the subject matter. The Order must not, however, be modified until the parties have been given notice and an opportunity to be heard on the proposed modification.

12. No Prior Judicial Determination. This Order is entered based on the

²The parties may choose to agree that the receiving party must destroy documents containing Confidential Information and certify the fact of destruction, and that the receiving party must not be required to locate, isolate and return e-mails (including attachments to e-mails) that may include Confidential Information, or Confidential Information contained in deposition transcripts or drafts or final expert reports.

representations and agreements of the parties and for the purpose of facilitating discovery. Nothing in this Order will be construed or presented as a judicial determination that any document or material designated as Confidential Information by counsel or the parties is entitled to protection under Fed. R. Civ. P. 26(c) or otherwise until such time as the court may rule on a specific document or issue.

13. Persons Bound by Protective Order. This Order will take effect when entered and is binding upon all counsel of record and their law firms, the parties, and persons made subject to this Order by its terms.

14. Jurisdiction. The court's jurisdiction to enforce the provisions of this Order will terminate on the final disposition of this case. But a party may file a motion to seek leave to reopen the case to enforce the provisions of this Order.

[OPTIONAL PROVISIONS. The following optional provisions may be helpful to the parties.]

15. Applicability to Parties Later Joined. If additional persons or entities become parties to this lawsuit, they must not be given access to any Confidential Information until they execute and file with the court their written agreement to be bound by the provisions of this Order.

16. Protections Extended to Third-Party's Confidential Information. The parties agree to extend the provisions of this Protective Order to Confidential Information produced in this case by third parties, if timely requested by the third party.

17. Confidential Information Subpoenaed or Ordered Produced in Other

Litigation. If a receiving party is served with a subpoena or an order issued in other litigation that would compel disclosure of any material or document designated in this action as Confidential Information, the receiving party must so notify the designating party, in writing, immediately and in no event more than three business days after receiving the subpoena or order. Such notification must include a copy of the subpoena or court order.

The receiving party also must immediately inform in writing the party who caused the subpoena or order to issue in the other litigation that some or all of the material covered by the subpoena or order is the subject of this Order. In addition, the receiving party must deliver a copy of this Order promptly to the party in the other action that caused the subpoena to issue.

The purpose of imposing these duties is to alert the interested persons to the existence of this Order and to afford the designating party in this case an opportunity to try to protect its Confidential Information in the court from which the subpoena or order issued. The designating party bears the burden and the expense of seeking protection in that court of its Confidential Information, and nothing in these provisions should be construed as authorizing or encouraging a receiving party in this action to disobey a lawful directive from another court. The obligations set forth in this paragraph remain in effect while the party has in its possession, custody, or control Confidential Information by the other party to this case.

18. Inadvertent Disclosure of Confidential Information Covered by Attorney-Client Privilege or Work Product. The inadvertent disclosure or production of any information or document that is subject to an objection on the basis of attorney-client

privilege or work-product protection, including, but not limited, to information or documents that may be considered Confidential Information under the Protective Order, will not be deemed to waive a party's claim to its privileged or protected nature or estop that party or the privilege holder from designating the information or document as attorney-client privileged or subject to the work product doctrine at a later date. Any party receiving any such information or document must return it upon request to the producing party. Upon receiving such a request as to specific information or documents, the receiving party must return the information or documents to the producing party within _____ days, regardless of whether the receiving party agrees with the claim of privilege and/or work-product protection. Disclosure of the information or document by the other party prior to such later designation will not be deemed a violation of the provisions of this Order. The provisions of this section constitute an order pursuant to Rules 502(d) and(e) of the Federal Rules of Evidence.

IT IS SO ORDERED.

Dated:

U.S. District Judge or U.S. Magistrate Judge

[Delete signature blocks if not wholly by agreement]

**WE SO MOVE
and agree to abide by the
terms of this Order**

**WE SO MOVE
and agree to abide by the
terms of this Order**

Signature

Printed Name

Counsel for: _____

Dated:

Signature

Printed Name

Counsel for: _____

Dated:

ATTACHMENT A

**ACKNOWLEDGMENT
AND
AGREEMENT TO BE BOUND**

The undersigned hereby acknowledges that he/she has read the Protective Order dated _____ in the case captioned, _____, and attached hereto, understands the terms thereof, and agrees to be bound by its terms. The undersigned submits to the jurisdiction of the United States District Court for the District of Kansas in matters relating to this Protective Order and understands that the terms of the Protective Order obligate him/her to use materials designated as Confidential Information in accordance with the order solely for the purposes of the above-captioned action, and not to disclose any such Confidential Information to any other person, firm, or concern, except in accordance with the provisions of the Protective Order.

The undersigned acknowledges that violation of the Protective Order may result in penalties for contempt of court.

Name: _____

Job Title: _____

Employer: _____

Business Address: _____

Date: _____

Signature