

Wisconsin Department of Justice Open Government Training



Cities and Villages Mutual Insurance Company: Public Records Law and Open Meetings Law Training

Wisconsin Department of Justice Office of Open Government

September 22, 2022

Remote Training



Presentation Overview

- Provide brief background on DOJ's Office of Open Government
- First Half: Cover public records law essentials, including:
 - Explain what is a record and who can request records
 - Discuss the receipt and processing of public records requests
 - Outline how to respond to public records requests
 - Address record retention
- Second Half: Outline open meetings law essentials, including:
 - Define what constitutes a governmental body
 - Explain when a meeting occurs
 - Detail meeting notice requirements
- Offer the opportunity for questions



Office of Open Government (OOG)

- Interpret and apply the Open Meetings Law, Public Records Law, and other open government statutes and rules
- Manage DOJ's public records request process
- Develop open government policies
- Provide legal counsel to DOJ and clients
- Run the PROM help line and respond to citizen correspondence concerning open government issues
 - Wis. Stat. §§ 19.39 and 19.98
 - Any person may request AG's advice
- Provide training and open government resources



Government Transparency

- "Transparency and oversight are essential to honest, ethical governance." John K. MacIver Inst. for Pub. Policy, Inc. v. Erpenbach, 2014 WI App 49, ¶ 32, 354 Wis. 2d 61, 848 N.W.2d 862
- Wisconsin Public Records Law, Wis. Stat. §§ 19.31 to 19.39
 - Sheds light on workings of government, acts of public officers and employees
 - Assists members of the public in becoming an informed electorate
 - Serves a basic tenet of our democratic system by providing for public oversight
- Wisconsin Open Meetings Law, Wis. Stat. §§ 19.81 to 19.98
 - The purpose of the open meetings law is to ensure openness
 - Only a few limited exemptions permit confidentiality
 - The open meetings law is to be broadly interpreted to promote openness



The Public Records Law and Record Retention



Presumption

The public records law "shall be construed in every instance with a presumption of complete public access, consistent with the conduct of government business. The denial of public access generally is contrary to the public interest, and only in an exceptional case may access be denied."

Wis. Stat. § 19.31





PUBLIC RECORDS ROLES



Authorities and Custodians

- Authority: Defined in Wis. Stat. § 19.32(1) any of specified entities having custody of a record
- **Legal Custodian**: Defined in Wis. Stat. § 19.33 vested by an authority with full legal power to render decisions and carry out public records responsibilities
 - E.g., elective official or designee
 - Custodial services: other staff may assist
 - All records belong to the authority
- **Requester**: Defined at Wis. Stat. § 19.32(3) generally, any person who requests to inspect or copy a record
 - Incarcerated or committed persons have more limited rights
 - Requester has greater rights to inspect personally identifiable information about himself or herself in a record. Wis. Stat. § 19.35(1)(am)

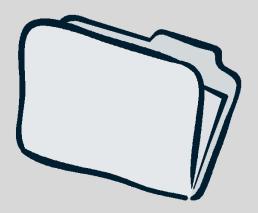


RECORDS



"Record" Defined

- Wis. Stat. § 19.32(2):
 - "Any material on which written, drawn, printed, spoken, visual or electromagnetic information or electronically generated or stored data is recorded or preserved, regardless of physical form or characteristics, which has been created or is being kept by an authority."





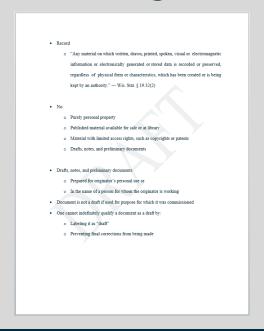
Is it a Record?

- Records include the following:
 - Material not created by the authority but in the authority's possession
 - Electronic records, including audio and video
 - Data in a database
 - Emails, texts, and social media
 - Virtual workplace chat content, channel discussions, and files
- Records do not include the following:
 - Published material available for sale or at library
 - Material with limited access rights, such as copyrights or patents
 - Purely personal property
 - Drafts, notes, and preliminary documents



Drafts, Notes, Preliminary Documents

- Prepared for originator's personal use or in the name of a person for whom the originator is working
- Not a draft if used for purpose for which it was commissioned
- One cannot indefinitely qualify a document as a draft by simply labeling it "draft" or preventing final corrections from being made





Electronic Records: Email, Texts, etc.

- Personal email, texts, calls, and documents on an authority's account:
 - Email sent and received on an authority's computer system is a record
 - Includes purely personal email sent by officers or employees of the authority
 - Schill v. Wisconsin Rapids School District, 2010 WI 86, 327 Wis. 2d 572, 786 N.W.2d 177
 - Generally, disclosure not required of purely personal e-mails sent or received by employees that evince no violation of law or policy.
- Government business emails, texts, calls, and documents on personal accounts:
 - These materials may be "records"
 - Content determines whether something is a "record," not the medium, format, or location
 - Personal materials on the same private accounts are not subject to disclosure
 - Recommendation: Conduct a careful search of all relevant accounts



Electronic Records: Virtual Workplaces

- Virtual workplaces, such as Microsoft Teams and Zoom, create or contain records subject to disclosure
 - Chats (e.g., one-to-one chats, group chats)
 - Channels (e.g., discussions, chats, files, and other communications)
 - Also, emojis, GIFs, photos posted
- An authority is responsible for locating records in virtual workplaces that are responsive to public records requests
- Recommendation for all electronic records: Ensure you conduct a thorough search of all relevant accounts including emails, texts, and other virtual workplace records.





RECEIVING AND PROCESSING A REQUEST



Public Records Request Process

- PRR is received and forwarded to the authority's records custodian
- The authority begins the search for records
- Any responsive records subject to disclosure are reviewed:
 - Presumption that they will be disclosed unless:
 - They are exempt from disclosure pursuant to a statute or the common law
 - The public records balancing test weighs in favor of nondisclosure
- Records are released with a letter explaining any redactions





Who Can Request?

- Wis. Stat. § 19.32(3) generally, any person who requests to inspect or copy a record
 - Incarcerated or committed persons have more limited rights
 - Requester has greater rights to inspect personally identifiable information about himself or herself in a record. Wis. Stat. § 19.35(1)(am)
- Requesters may be anonymous, and generally, **need not identify** themselves
 - However, public records requests are records subject to disclosure
- Requesters **need not state the purpose** of their requests
 - Motive generally not relevant, but context appropriately considered
- State ex rel. Ardell v. Milwaukee Board of School Directors, 2014 WI App 66, 354 Wis. 2d 471, 849 N.W.2d 894: Safety concerns may be relevant, but it is a fact-intensive issue determined on a case-by-case basis in the balancing test.



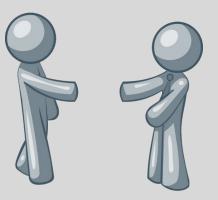
Receiving a Request

- A request may be submitted to anyone working for an authority
 - A request may be verbal or in writing
 - An authority may not require the use of a form
 - "Magic words" are not required
- In order to be a **sufficient request**, it must:
 - Reasonably describe the information or records requested
 - Be reasonably specific as to time and subject matter
- Custodian should not have to guess what records the requester wants



Communication with a Requester

- Don't understand the request? Contact the requester
 - Send a written summary of your understanding and request clarification
- Inform the requester if there is a large number of responsive records, or large estimated costs, and suggest or solicit alternatives
 - A requester may not know how many responsive records exist
 - A requester may have no interest in many "technically" responsive records
- Send the requester an acknowledgment and periodic status updates if the response will take some time





Records Must Exist

- Generally, only records that exist at the time of the request must be produced
 - To respond, an authority **need not create** new records
- Public records law does **not require** answering questions
 - However, if a request asks a question and an existing record answers the question, provide the record or inform the requester
- Continuing requests are not contemplated by the public records law
- If there are no responsive records, inform the requester. See Journal Times v. Police & Fire Com'rs Bd., 2015 WI 56, ¶ 102, 362 Wis. 2d 577, 866 N.W.2d 563.





Absolute Right and Denial of Access

- Absolute Right: Not many exist:
 - Books and papers "required to be kept" by sheriff, clerk of circuit court, and other specified county officials
 - Daily arrest logs or police "blotters" at police departments

Absolute Denial:

- Can be located in public records statutes, for example:
 - Information related to a current investigation of possible employee criminal conduct or misconduct
 - Plans or specifications for state buildings
- Can be located in other statutes or case law, for example:
 - Patient health care records; pupil records



The Balancing Test

- Weigh the public interest in disclosure of the record against the public interest and public policies against disclosure
 - Consider public policies expressed in other statutes, court decisions, exemptions to open meeting requirements in Wis. Stat. § 19.85(1), evidentiary privileges, etc.
- Fact intensive; "blanket rules" disfavored
- Must conduct on case-by-case basis taking into consideration the totality of circumstances
- Identity of requester and the purpose of request are generally not part of the balancing test



ISSUES TO NOTE



Employee Records

- Wis. Stat. § 19.36(10): Treatment of employee personnel records
 - Unless required by Wis. Stat. § 103.13, **prohibits** the disclosure of information related to:
 - Employee's home address, email, phone number, SSN
 - Current investigation of possible criminal offense or misconduct connected with employment
 - Employee's employment examination, except the score
 - Staff management planning, including performance evaluations, judgments, letters of reference, other comments or ratings relating to employees
- Other personnel-related records, including disciplinary records, may be subject to disclosure
 - Notice to employees is required in certain circumstances. See Wis. Stat. § 19.356.



Law Enforcement Records

- Crime victims' rights expressed in statutes, constitutional provisions, and case law
 - Consideration of family of crime victims
 - Marsy's Law: Balancing test considerations
- Protection of witnesses
 - Safety and security; "chilling" future cooperation with law enforcement
- Confidential Informants
 - Wis. Stat. § 19.36(8): Information identifying confidential informants must be withheld unless balancing test requires otherwise
- Children and juveniles
- Officer safety, including the safety of officers' families and homes
- Tip: If an authority has a record that it did not create, it can reach out to the originating authority to see what concerns it may have

Law Enforcement – Questions to Ask

- Would the release endanger the safety of persons involved?
- Are there reputation and privacy interests involved?
 - The public interest is found in the public effects of failing to honor the individual's privacy interests **not** the individual's personal interests
- Do the records contain rumor, hearsay, or potentially false statements?
- Were potentially biased witnesses interviewed?
- Do the records discuss confidential law enforcement techniques and procedures?
- Is there a possibility of threats, harassment, or reprisals?
 - Against victims, witnesses, officers, others, or their families?
 - · Any such possibility is accorded appropriate weight depending on the likelihood
 - Generally, there must be a reasonable probability
 - See John K. MacIver Inst. for Pub. Policy, Inc. v. Erpenbach, 2014 WI App 49, 354 Wis. 2d 61, 848 N.W.2d 862



Other Special Issues

- Law enforcement records of **children and juveniles** who are the subjects of investigations and other proceedings are confidential with some exceptions. See Wis. Stat. §§ 48.396 and 938.396.
 - Access to other records regarding or mentioning children are subject to general public records rules including the balancing test
- Wis. Stat. § 165.87: Law enforcement **body cameras**; includes provisions regarding:
 - Retention of body camera data
 - Legal custodian of body camera data
 - Possible exceptions to disclosure, including victims of sensitive or violent crimes, minors, and certain locations.
- Stat. § 905.03(2) and Common Law: Lawyer-Client Privileged Communications
- Wis. Stat. § 804.01(2)(c)1 and Common Law: Attorney Work Product
- Other statutes requiring confidentiality

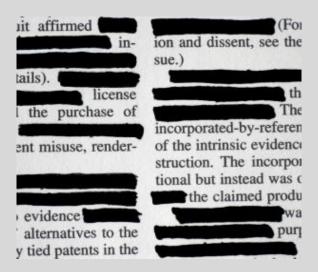


REDACTION



Redaction

- Wis. Stat. § 19.36(6): If part of a record is disclosable, must disclose that part and redact non-disclosable portions
- No specific way to redact: electronic redaction, black magic marker, cover up with white paper when photocopying
- Redaction constitutes a denial of access to the redacted information
 - Therefore subject to review by mandamus





RESPONDING TO A REQUEST



Written Response

- A written request requires a written response, if the request is denied in whole or in part
 - Reasons for denial must be specific and sufficient
 - Purpose is to give adequate notice of reasons for denial and ensure that the custodian has exercised judgment
 - Reviewing court usually limited to reasons stated in denial
 - Availability of the same records from other sources generally not a sufficient reason
 - Must inform the requestor that denial is subject to review in an enforcement action for mandamus under Wis. Stat. § 19.37(1) or by application to district attorney or Attorney General
- May respond in writing to a verbal request
- A request for clarification, without more, is not a denial



Format of Records

- Lueders v. Krug, 2019 WI App 36, 388 Wis. 2d 147, 931 N.W.2d 898
 - Emails requested in electronic format, where no redactions were applied, **must** be provided in electronic format
 - Printed copies of requested records were not sufficient
 - Printed copies do not include metadata (data about data)
 - Because emails were requested in electronic format, associated metadata was also requested
- Wiredata, Inc. v. Village of Sussex, 2008 WI 69, 310 Wis. 2d 397, 751 N.W.2d 736
 - PDF fulfilled request for "electronic records" despite not having all the characteristics wanted by the requester





ming of Response

esponse is required, "as soon as practicable and without delay"

No specific time limits, depends on circumstances

OJ policy: 10 business days generally reasonable for response to simple,

arrow requests

enalties for arbitrary and capricious delay

ottom line: When the OOG informs you of a pending public records request, ork to gather responsive records as soon as practicable





otice Before Release

otice to record subjects is only required in limited circumstances Required by Wis. Stat. § 19.356(2)(a)1:

- Records containing information resulting from closed investigation into a disciplinary matter or possible employment-related violation of policy, rule, or statute
- Records obtained by subpoena or search warrant
- Records prepared by employer other than the authority about employees of that employer
- "Record subject" can try to prevent disclosure in court
- Required by Wis. Stat. § 19.356(9):
- Officer or employee of the authority holding state or local public office
- "Record subject" may augment the record to be released

ttorney General opinions regarding notice: OAG-02-18 (Feb. 23, 2018); OAG-07-14 Oct. 15, 2014)



PERMISSIBLE FEES



osts

ctual, necessary, and direct costs only—unless otherwise specified by law **Copying and reproduction**

Location, if costs are \$50.00 or more

• Location costs themselves must be \$50 or more: An authority **cannot combine** location costs with other costs to reach the \$50 threshold

Mailing/shipping to requester

Others specified in Wis. Stat. § 19.35(3)

uthorities may not charge for redaction costs

repayment may be required if total costs exceed \$5.00

uthority may waive all or part of costs

ecommendation: Keep careful records of time spent working on requests



OG Fee Advisory

ffice of Open Government Advisory: Charging Fees under the Wisconsin Public ecords Law (August 8, 2018)

Available at https://www.doj.state.wi.us/sites/default/files/news-media/8.8.18_00G_Advisory_Fees_0.pdf

Overview of costs permissible under the law

Result of inquiries pertaining to high fees charged by some authorities:

- Copy costs that are not actual, necessary and direct
- Location costs including time spent by specialists
 - Limit amount of time spent by specialist
 - Charge lowest hourly rate of individual capable of searching

OJ's fee schedule is available at https://www.doj.state.wi.us/sites/default/files/office-pen-government/fee-schedule-final.pdf



ENFORCEMENT



nforcement

lis. Stat. § 19.37: Mandamus action to challenge withholding a record or part of record or a delay in granting access

Authority may be ordered to release records

Other remedies

is. Stat. § 946.72: Tampering with public records and notices "Whoever with intent to injure or defraud destroys, damages, removes or conceals any public record is guilty of a Class H felony."





RECORDS RETENTION



ecords Retention under the Public Records Law

isconsin Public Records Law, Wis. Stat. §§ 19.31 to 19.39

Wis. Stat. § 19.35(5): Governs retention following receipt of a request:

- No destruction until the request is granted or until at least 60 days after the authority denies the request
- 90 days if requester is committed or incarcerated
- No destruction during enforcement action





ther Records Retention Statutes

'is. Stat. § 16.61: State authorities

'is. Stat. § 19.21: Local authorities

Generally, a **7-year retention period** for most records

The Public Records Board (PRB) may set shorter retention periods

eneral Records Schedules (GRSs)

State agencies are bound to follow

- Unless they opt out and adopt corresponding RDAs within 12 months
- Local government units may opt in

gency-specific **Records Retention/Disposition Authorizations** (RDAs)

Deviate from the GRSs to meet specific agency needs



ecord Retention - Best Practices

stablish agency policies regarding retention

nsure all agency-specific RDAs are up-to-date

RDAs sunset after 10 years

rain agency records officers and other staff on records retention and relevant agency olicies

ollow your retention schedules

onsult your legal counsel

or additional information, visit the PRB's website: http://publicrecordsboard.gov





PUBLIC RECORDS LAW OR RECORDS RETENTION QUESTIONS?



The Open Meetings Law



ublic Policy

n recognition of the fact that a representative government of the American period is dependent upon an informed electorate, it is declared to be the policy of his state that the public is entitled to the fullest and most complete formation regarding the affairs of government as is compatible with the onduct of governmental business."



- Wis. Stat. § 19.81(1)



ssentials

enerally, the open meetings law requires that all meetings of governmental odies:

must be preceded by public notice; and

AND

- must be **publicly held** in a place that is **reasonably accessible** and **open** at all times to all members of the public;
- except in limited situations in which a closed session is specifically authorized.



GOVERNMENTAL BODIES



overnmental Body

Governmental body' means a state or local agency, board, commission, council, epartment or public body corporate and politic created by constitution, statute, rdinance, rule or order " Wis. Stat. § 19.82(1).

ranslation:

- Any kind of collective governmental entity (state or local level).
- Created by constitution, statute, ordinance, rule or order.
- Without regard to what that entity is called (i.e., a board, commission, committee, council, etc.).
- icludes purely advisory bodies, governmental corporations, quasi-governmental orporations, and formally constituted subunits
- enerally, a governmental body does not include a group of administrative staff of a overnment agency.



MEETINGS



eeting

Meeting' means the **convening** of members of a governmental body for the **purpose** of xercising the responsibilities, authority, power or duties delegated to or vested in the ody." Wis. Stat. § 19.82(1).

Not limited to face-to-face gatherings or physical presence together.

• Examples: telephone calls, emails, virtual meetings, other electronic forms of communication





eetings: The Showers Test

he Wisconsin Supreme Court established a two-part test. *State ex rel.* lewspapers v. Showers, 135 Wis. 2d 77, 398 N.W.2d 154 (1987).

- A meeting occurs whenever:
 - **Purpose** requirement:
 - Members convene for the purpose of conducting governmental business
 - Numbers requirement:
 - The number of members present is sufficient to determine the body's course of action
 - Includes negative quorums



eetings: "Convening" of Members

lembers must convene for there to be a meeting

ot limited to face-to-face gatherings or physical presence together

icludes situations in which members are able to effectively communicate with each ther and exercise the body's authority

members communicate without physically gathering together, the key question is:

• To what extent do their communications resemble a face-to-face exchange?





eetings: "Convening" of Members (cont.)

- "convening" of members can occur through written correspondence, telephone and deo conference calls, emails, and other forms of electronic messaging.
- echnology creates risk of private communication that should be held at public meetings
- Important to keep in mind with increase in use of virtual workplace platforms
- o minimize the risk of violations, caution is advised:
 - Use only for one-way transmissions
 - Do not send replies or minimize their distribution
 - If a reply is needed, do not reply to all; reply only to the sender
 - Do not use for debate/discussion or polling/voting
 - Could be construed as a "walking quorum"
 - Limit the use of attachments/editing among members



eetings: Serial or "Walking" Quorum

Walking" Quorum: A meeting resulting from a series of gatherings among body members

lements of a "walking" quorum:

- A series of gatherings among groups of members
- Each smaller in size than a quorum
- Agreement to act uniformly
- In sufficient number to control the body

he "walking" quorum concept is intended to prevent circumvention of the law through ne use of an agent or surrogate to obtain collective agreements of members outside a ublic meeting.

ractical Tips:

- "Walking" quorum issues are complex and fact-specific
- Consult with your legal counsel



NOTICE



eneral Notice Requirement

Every meeting of a governmental body shall be preceded by public notice" /is. Stat. § 19.83(1).

otice must be communicated to:

- The public
- News media that have filed a written request for notice
- The official newspaper for the community in question
 - If none, then a news medium likely to give notice in the area

residing officer is legally responsibly for ensuring notice requirements are met

Tasks may be delegated but presiding officer liable for any violations



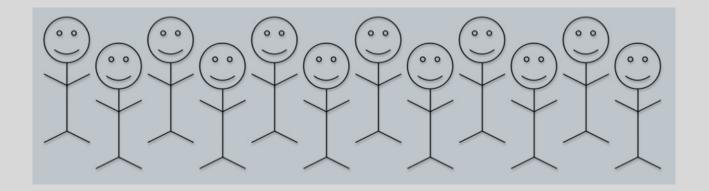
anner of Notice to the Public

otice to the public **must** be made using one of the following methods:

Posting in at least 3 public places likely to give notice to persons affected

Posting in at least 1 public place and on the body's Internet site

Paid publication in news medium likely to give notice to persons affected





ming and Content of Notice

Every meeting of a governmental body shall be preceded by public notice" Wis. tat. § 19.83(1).

otice must be communicated at least 24 hours before the meeting to:

The **public**, **news media** that have filed a **written request** for notice, and the **official newspaper** for the community in question

he meeting notice must reasonably inform the public of the **time**, **date**, **place**, and **ubject matter** of the meeting.





ontent of Public Notice: Subject Matter

ow detailed must a notice be in describing the subject matter of a meeting?

• The Wisconsin Supreme Court has said that the description must be **reasonable under all of the relevant circumstances** of the particular case. *State ex rel. Buswell v. Tomah Area Sch. Dist.*, 2007 WI 71, 301 Wis. 2d 178, 732 N.W.2d 804.

elevant circumstances include:

- The burden of providing more detail
- The degree of public interest in the subject
- Whether the subject is non-routine

otice should **not** use generic, uninformative subject-matter designations, such as:

- Old or new business
- Agenda revisions
- Miscellaneous business, etc.



otice should include the subject matter of any contemplated closed session

OPEN SESSIONS



pen Session Requirements

A]ll meetings of all state and local governmental bodies shall be **publicly held in laces reasonably accessible** to members of the public and **shall be open** to all tizens at all times **unless otherwise expressly provided by law**." Wis. Stat. § 9.81(2).

Open session' means a meeting which is held in a place reasonably accessible to embers of the public and open to all citizens at all times" Wis. Stat. § 19.82(3).





CLOSED SESSIONS



osed Sessions: Required Procedure

very meeting must begin in open session

o go into closed session, a motion must be duly made and carried in open session

he vote of each member must be recorded

efore a vote to go into closed session, the presiding officer must announce:

- The statutory exemption(s) authorizing the closed session and
- The nature of the business to be considered

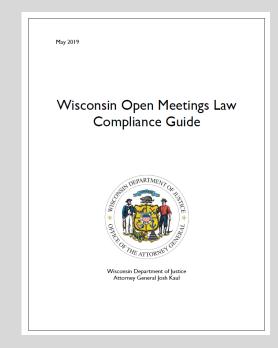




osed Sessions: Authorized Subjects

he specific subjects for which closed sessions are authorized (exemptions) re set out in Wis. Stat. § 19.85(1).

or a more complete discussion of this topic, see **DOJ's Wisconsin Open leetings Law Compliance Guide**.





ENFORCEMENT



nforcement: Options and Penalties

ne open meetings law may be enforced by the attorney general, local district attorney, or by a rivate relator. Wis. Stat. § 19.97:

enalties:

- Civil forfeiture of \$25 to \$300 per violation for any **member** of a body who **knowingly** attends a meeting held in violation of the open meetings law or otherwise violates the law
- A member is **not** liable for attending an unlawful meeting if the member makes or votes in favor of a motion to prevent the violation from occurring. Wis. Stat. § 19.96.
- Members of a body who acting openly and in good faith seek and rely upon the advice of the body's official legal counsel may not be found liable for any violation
- n action taken at an unlawful meeting may be voidable if:
- the court finds that the public interest in the enforcement of the open meetings law outweighs the public interest in sustaining the validity of the action



OPEN MEETINGS: COVID-19 CONSIDERATIONS



Reasonably Accessible"

ne law requires meetings to be held in places "reasonably accessible" to the members of the ublic and open to all citizens at all times unless otherwise provided by law. Wis. Stat. § 19.81(2).

- The type of access that constitutes reasonable access during pandemic circumstances may be different form the types of access required in other circumstances.
- Whether a meeting is "reasonably accessible" is a factual question determined on a caseby-case basis.
- nder the pandemic circumstances, governmental bodies can typically meet their open eetings law obligations while practicing social distancing by conducting meetings via elephone or video conference calls.
- However, the public must be provided an effective way to monitor the calls.
- otices must include instructions on how to attend the meeting remotely, including any required all-in number and/or log-in information.

est Practices, Including for Meetings Post-Covid

is advisable for bodies to keep the public health situation, government guidance, and ealth concerns of the public in mind when making decisions regarding conducting pen meetings.

odies should be mindful that it may be burdensome, infeasible, or impossible for some lembers of the public to attend in person or remotely.

Bodies should facilitate reasonable access to meetings for such individuals.

• For example, bodies could hold meetings in person with a remote option.

ottom Line: The more access to meetings, the better. Providing multiple options to ne public to attend meetings helps to fulfill the purpose of the open meetings law.



OPEN MEETINGS LAW QUESTIONS?



urther Information

ownload **DOJ Compliance Guides** and other resources at ttps://www.doj.state.wi.us/office-open-government/office-open-government

ontact the Office of Open Government:

Location: AG's Capitol Office, 114 East

Main Tel: (608) 267-2220

OOG Email: <u>opengov@widoj.gov</u>

Paul Ferguson: (608) 264-9464

fergusonpm@doj.state.wi.us







Thank You!

