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
    - 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

- 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
Timing of Response

Response is required, “as soon as practicable and without delay”

No specific time limits, depends on circumstances

DOJ policy: 10 business days generally reasonable for response to simple, arrow requests

Penalties for arbitrary and capricious delay

Bottom line: When the OOG informs you of a pending public records request, work to gather responsive records as soon as practicable
Notice Before Release

Notice 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

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

Courtesy notice
PERMISSIBLE FEES
costs

**Actual, 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)

Authorities **may not** charge for redaction costs

Repayment may be required if total costs exceed $5.00

Authority may waive all or part of costs

**Recommendation:** Keep careful records of time spent working on requests
OG Fee Advisory

Office of Open Government Advisory: Charging Fees under the Wisconsin Public Records Law (August 8, 2018)
Available at https://www.doj.state.wi.us/sites/default/files/news-media/8.8.18_OOG_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-open-government/fee-schedule-final.pdf
ENFORCEMENT
Wis. 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

Wis. 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
Records Retention under the Public Records Law

Wisconsin 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
Records Retention Statutes

*Wis. Stat. § 16.61*: State authorities

*Wis. Stat. § 19.21*: Local authorities

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

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

**General 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

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

Deviate from the GRSs to meet specific agency needs.
Record Retention – Best Practices

- Establish agency policies regarding retention
- Ensure all agency-specific RDAs are up-to-date
- RDAs sunset after 10 years
- Train agency records officers and other staff on records retention and relevant agency policies
- Follow your retention schedules
- Consult your legal counsel

For additional information, visit the PRB’s website: http://publicrecordsboard.gov
PUBLIC RECORDS LAW OR RECORDS RETENTION QUESTIONS?
The Open Meetings Law
In recognition of the fact that a representative government of the American type is dependent upon an informed electorate, it is declared to be the policy of this state that the public is entitled to the fullest and most complete information regarding the affairs of government as is compatible with the conduct of governmental business.”

— Wis. Stat. § 19.81(1)
Generally, the open meetings law requires that all meetings of governmental bodies:

- 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
Governmental Body

Governmental body’ means a state or local agency, board, commission, council, department or public body corporate and politic created by constitution, statute, ordinance, rule or order . . .” Wis. Stat. § 19.82(1).

Translation:
- 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.).

Includes purely advisory bodies, governmental corporations, quasi-governmental corporations, and formally constituted subunits.

Generally, a governmental body does not include a group of administrative staff of a government agency.
MEETINGS
Meeting

Meeting’ means the *convening* of members of a governmental body for the *purpose* of exercising the responsibilities, authority, power or duties delegated to or vested in the body.” 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
Meetings: The Showers Test


• 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
Meetings: “Convening” of Members

Members must convene for there to be a meeting. Not limited to face-to-face gatherings or physical presence together; includes situations in which members are able to effectively communicate with each other 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?
Convening” of members can occur through written correspondence, telephone and video conference calls, emails, and other forms of electronic messaging. Technology 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 to 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
Meetings: Serial or “Walking” Quorum

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

Elements 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

The “walking” quorum concept is intended to prevent circumvention of the law through the use of an agent or surrogate to obtain collective agreements of members outside a public meeting.

Practical Tips:
- “Walking” quorum issues are complex and fact-specific
- Consult with your legal counsel
General Notice Requirement

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

Notice 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 responsible for ensuring notice requirements are met
- Tasks may be delegated but presiding officer liable for any violations
Manner of Notice to the Public

Notice 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
Timing and Content of Notice

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

Notice 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

The meeting notice must reasonably inform the public of the **time, date, place**, and **subject matter** of the meeting.
Content of Public Notice: Subject Matter

How 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.

Relevant circumstances include:

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

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

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

Notice should include the subject matter of any contemplated closed session.
OPEN SESSIONS
Open Session Requirements

All meetings of all state and local governmental bodies shall be **publicly held in places reasonably accessible** to members of the public and **shall be open** to all citizens 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 members of the public and open to all citizens at all times . . .” Wis. Stat. § 19.82(3).
CLOSED SESSIONS
Closed Sessions: Required Procedure

Every meeting must begin in open session.

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

The vote of each member must be recorded.

Before 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.
Closed Sessions: Authorized Subjects

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

For a more complete discussion of this topic, see DOJ’s Wisconsin Open Meetings Law Compliance Guide.
ENFORCEMENT
Enforcement: Options and Penalties

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

Penalties:
- 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.

An 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”

The law requires meetings to be held in places “reasonably accessible” to the members of the public 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 from the types of access required in other circumstances.

• Whether a meeting is “reasonably accessible” is a factual question determined on a case-by-case basis.

Under the pandemic circumstances, governmental bodies can typically meet their open meetings law obligations while practicing social distancing by conducting meetings via telephone or video conference calls. However, the public must be provided an effective way to monitor the calls.

Notices must include instructions on how to attend the meeting remotely, including any required call-in number and/or log-in information.
Best Practices, Including for Meetings Post-Covid

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

Bodies should be mindful that it may be burdensome, infeasible, or impossible for some members 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.

**Bottom Line:** The more access to meetings, the better. Providing multiple options to the public to attend meetings helps to fulfill the purpose of the open meetings law.
OPEN MEETINGS LAW QUESTIONS?
Further Information

Download DOJ Compliance Guides and other resources at https://www.doj.state.wi.us/office-open-government/office-open-government

Contact the Office of Open Government:

Location: AG’s Capitol Office, 114 East
Main Tel: (608) 267-2220
OOG Email: opengov@wi.doj.gov

Paul Ferguson: (608) 264-9464
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Thank You!