

UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF FLORIDA

CASE NO. 16-CV-80655-ROSENBERG/HOPKINS

JAMES TRACY,

Plaintiff,

v.

FLORIDA ATLANTIC UNIVERSITY  
BOARD OF TRUSTEES a/k/a FLORIDA  
ATLANTIC UNIVERSITY; et al.,

Defendants.

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**NOTICE OF SERVING ANSWERS TO PLAINTIFF'S FIRST SET OF  
INTERROGATORIES TO DIANE ALPERIN**

Defendant, DIANE ALPERIN ("Alperin"), pursuant to Rule 33 of the Federal Rule of Civil Procedure, hereby gives notice of service of Alperin's Answers to Plaintiff's First Set of Interrogatories served on July 22, 2016.

*/s/ Keith E. Sonderling*  
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## **CERTIFICATE OF SERVICE**

I HEREBY CERTIFY that a true and correct copy of the foregoing was served by email on this 10<sup>th</sup> day of February, 2017, on all counsel or parties of record on the below Service List.

/s/ Keith E. Sonderling  
Keith E. Sonderling

## **SERVICE LIST**

### **Tracy v. Florida Atlantic University Board of Trustees, *et al.* Case No. 16-cv-80655-ROSENBERG/HOPKINS**

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FLORIDA ATLANTIC UNIVERSITY  
BOARD OF TRUSTEES a/k/a FLORIDA  
ATLANTIC UNIVERSITY; et al.,

Defendants.

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**RESPONSE TO PLAINTIFF'S FIRST SET OF INTERROGATORIES**

Defendant, DIANE ALPERIN (“Alperin”), pursuant to Rule 33 of the Federal Rule of Civil Procedure, hereby serves Alperin’s Response to Plaintiff’s First Set Interrogatories served on July 22, 2016.

Defendant Diane Alperin is responding in her personal capacity, only with information of which she has personal knowledge.

**INTERROGATORIES**

1. Set forth your current present home address, any and all email addresses you have used, your employer’s name and business address, your job title and/or the capacity in which you are associated with any defendant named in the Complaint.

**ANSWER: Defendant Alperin objects to this request to the extent it asks for irrelevant personal information regarding Defendant Alperin, including her personal address and personal email address. Without waiving this objection, Defendant Alperin may be reached care of Gunster, Yoakley & Stewart, P.A. at 777 South Flager Drive, Suite**

500 East, West Palm Beach, Florida 33401. Defendant Alperin's FAU email address is [alperind@fau.edu](mailto:alperind@fau.edu).

During the relevant period identified in the instructions, Defendant Alperin held several positions with FAU including: Associate Provost of Personnel and Programs; Associate Provost of Personnel; Vice Provost; Senior Advisor in Academic Affairs; and Interim Provost.

Defendant Alperin is associated with the Defendants named in the Second Amended Complaint as follows:

**Defendant FAU is Defendant Alperin's employer;**

**Defendant Kelly is the President of Defendant Alerpin's employer;**

**Defendant Coltman is a colleague;**

**Defendant Alperin worked with UFF on collective bargaining and grievances;**

**Defendant Alperin is not associated with Defendant FEA;**

**Defendant Alperin may have met with Defendant Moats in his work with UFF but did not work with him regularly;**

**Defendant Zoeller is a colleague.**

2. Describe any and all documents, communications, notes or other records taken or made by you or on your behalf concerning the Plaintiff, or anything related to this action and events alleged in the Complaint.

**ANSWER: Objection, this request is overbroad, seeking discovery which is not proportional to the needs of the case. Plaintiff is seeking any and all communications, which would include email communications, which concern the Plaintiff "or anything related to this action and events alleged in the Complaint" for a period spanning more than**

**5 years and may encompass information that is unrelated to the issues raised in the Second Amended Complaint.**

**With respect to Plaintiff's request to identify documents, communications, notes or other records made by Defendant Alperin related to this action and the events alleged in the Second Amended Complaint, pursuant to a public records request issued outside the scope of this litigation, Plaintiff has been provided with approximately 2800 pages of documents for September through December 2015, which encompass documents responsive to this request, to the extent that any such documents exist. Finally, Defendant Alperin objects to this request to the extent that it seeks identification of documents, communications or notes which are protected by the attorney-client privilege or work product doctrine.**

3. Set forth your duties and responsibilities at FAU, your relationship with FAU's Board of Trustees, and all powers and authority you possess over University faculty. If your official actions are subject to review and/or approval by any superior(s), please state that fact and provide the name of your superior(s), and describe the review and/or approval process.

**ANSWER: Defendant Alperin has held several positions at FAU from January 1, 2012 through the date of this response.**

**In addition to other responsibilities, as Senior Advisor in Academic Affairs, Defendant Alperin works part time on special projects, including but not limited to lifelong learning, continuing education, salaries, dean searches, personnel for the College of Design and Social Inquiry, serving as a liaison to the Admission Review Board, and working as a consultant in the Provost's office.**

**In addition to other responsibilities, as Vice Provost, Defendant Alperin assisted the Provost, served as a consultant, kept the personnel portfolio, including but not limited to**

hiring, termination, collective bargaining, promotion and tenure, sabbaticals, grievances, Fulbright scholarships, National Endowments for the Humanities, approving position searches, approving pay increases, signing contracts regarding internships, and serving as the Provost's representative to the Admission Review Board.

In addition to other responsibilities, as Associate Provost, Defendant Alperin worked on the personnel portfolio and had program responsibilities including, new degree programs, terminating degree programs, curriculum, SACs accreditation, and assessment of programs.

In addition to other responsibilities, as Interim Provost, Defendant Alperin was responsible for academics for the University, personnel, finance, programs, Lifelong Learning, and supervision of all of the college deans.

In response to the request for Defendant Alperin to set forth her relationship with the Board of Trustees, Defendant Alperin states that she attended meetings, made reports for the Provost, served as liaison to the Board of Trustee's Committee on Academic and Student Affairs (when she served as Provost), and worked with the Board of Trustees on issues related to collective bargaining.

In response to the request for Defendant Alperin to set forth the powers and authority she possesses over University faculty, Defendant Alperin states that as Interim Provost, the college deans reported to her. She also had responsibilities (as described above) for the personnel portfolio.

In response to the request seeking whether Defendant Alperin's decisions are subject to review and/or approval by a superior, Defendant Alperin states that she reports to the Provost and, as Interim Provost, reported to the President.

4. Set forth FAU's "Outside Activities/Conflict of Interest" Policy, and identify all documents and communications in your possession, custody or control, and set forth all procedures relating to FAU's "Conflict of Interest/Outside Activities" Policy. This includes but is not limited to any and all documents and/or communications concerning instructions, management, monitoring, oversight, disputes, complaints and changes to the Policy. If no such documents or communications exist, then state that fact.

**ANSWER: Objection, this request is overbroad and not proportional to the needs of this case. The interrogatory asks Defendant Alperin to "identify all documents and communications in your possession, custody or control." This is clearly overbroad, as it seeks all documents and communications in Defendant Alperin's possession, custody or control for the last 5 years without qualification or relevance to this case or proceeding.**

**In response to this interrogatory's request for Defendant Alperin to set forth FAU's Conflict of Interest/Outside Activities Policy and the request for Defendant Alperin to set forth all procedures relating to FAU's Conflict of Interest/Outside Activities Policy, and in compliance with Rule 33 of the Federal Rules of Civil Procedure, Defendant Alperin is producing copies of the following business records which are responsive to this Request: FAU's Policies and Procedures, Policy Number 7.5 Personnel, Section 8: Employee Ethical Obligations and Conflict of Interest; Florida Atlantic University Guidelines on Conflict of Interest, Conflict of Commitment and Outside Activities, Including Financial Interests; and the Florida Atlantic University Board of Trustees and The United Faculty of Florida Collective Bargaining Agreement 2012-2015.**

5. Identify all persons, including but not limited to FAU officials, employees, agents and University faculty members involved in the enforcement of FAU's "Outside Activities/Conflict

of Interest” Policy, and with respect to each individual identified pursuant to this interrogatory, set forth their responsibilities and duties relating to the Policy.

**ANSWER: Defendant Alperin objects to this request on the grounds that it is overbroad and unduly burdensome. All FAU employees, including all faculty and staff, are required to comply with the Outside Activities/Conflict of Interest Policy and are therefore involved, along with Supervisors, Department Chairs, Directors and Deans in the policy’s “enforcement.” Without waiving this objection, in response to this interrogatory and in compliance with Rule 33 of the Federal Rules of Civil Procedure, Defendant Alperin is producing copies of the following business records which are responsive to this Request: FAU’s Policies and Procedures, Policy Number 7.5 Personnel, Section 8: Employee Ethical Obligations and Conflict of Interest; Florida Atlantic University Guidelines on Conflict of Interest, Conflict of Commitment and Outside Activities, Including Financial Interests; and the Florida Atlantic University Board of Trustees and The United Faculty of Florida Collective Bargaining Agreement 2012-2015.**

6. Set forth the date of all meetings (including telephonic meetings) relating to the Plaintiff, FAU’s “Conflict of Interest/Outside Activities” Policy, and any disciplinary action involving Plaintiff, or any University employee or faculty member for violations of the Policy; identify all persons who attended such meetings, and identify any and all persons involved in investigating or addressing any complaints relating to the Plaintiff, the Policy, and any disciplinary action sought against any other person pursuant to the Policy.

**ANSWER: Objection, this request is overbroad and not proportional to the needs of this case. Plaintiff is requesting information regarding any meetings relating to: 1) Plaintiff; 2) FAU’s Conflict of Interest/Outside Activities Policy; 3) disciplinary action taken involving Plaintiff; and 4) disciplinary action taken against any University employee**

**or faculty member for violations of the Conflict of Interest/Outside Activities policy, spanning a five year period of time. It would be unduly burdensome for Defendant Alperin to identify “all meetings (including telephonic meetings)” which have occurred during this five year period with respect to these four categories of topics.**

**Further, to the extent this Request seeks disclosure of “any and all persons involved in investigating or addressing any complaints relating to the Plaintiff, the Policy, and any disciplinary action sought against any other person pursuant to the Policy, Defendant Alperin objects to the Request as overbroad, vague, and unduly burdensome. The Request is unclear as to the types of “complaints” the Request seeks information relating to.**

7. Identify any allegation, inquiry, complaint, investigation, regulatory proceeding, official action, or litigation by any third party, including but not limited to any individual, non-governmental agency, advocacy group, municipal, state, or federal entity, relating to the Plaintiff, FAU’s “Conflict of Interest/Outside Activities” Policy, and/or the constitutional rights of any of FAU faculty members, including but not limited to freedom of speech, due process and academic freedom; identify all documents concerning, and set forth steps taken by UFF, FEA, you, and/or any person working at your direction to investigate the merits of any such allegation, inquiry, complaint, investigation, regulatory proceeding, official action, or litigation.

**ANSWER: Objection, this request is overbroad and not proportional to the needs of this case. This request asks Defendant Alperin to identify any allegation, inquiry, complaint, investigation, regulatory proceeding, official action, or litigation by any third party relating to: 1) Plaintiff; 2) FAU’s Conflict of Interest/Outside Activities Policy; and 3) the constitutional rights of any FAU faculty members, including but not limited to freedom of speech, due process and academic freedom. As Plaintiff is aware from documents produced pursuant to a public records request issued to FAU, FAU received hundreds of**

**complaints relating to Plaintiff within the last five years. It is unduly burdensome for Defendant Alperin to identify each individual complaint received herein; particularly when those documents are already in the possession of Plaintiff and/or counsel acting on his behalf. Additionally, complaints related to “the constitutional rights of any FAU faculty members, including but not limited to freedom of speech, due process and academic freedom,” if any, are not relevant to this proceeding and would not be proportional to the needs of this case.**

8. Explain why you withdrew threatened disciplinary action against Plaintiff in 2013.

**ANSWER: Objection, Plaintiff has exceeded the limitations of Rule 33, Federal Rules of Civil Procedure, as his requests for interrogatories exceed 25 written interrogatories, including all discrete subparts.**

9. Explain why you did not remove the Notice of Discipline dated March 28, 2013 from Plaintiff's personnel file.

**ANSWER: Objection, Plaintiff has exceeded the limitations of Rule 33, Federal Rules of Civil Procedure, as his requests for interrogatories exceed 25 written interrogatories, including all discrete subparts.**

10. Explain why, in 2013, you did not request “Outside Activities/Conflict of Interest” forms for Plaintiff's personal blogging for the 2013-2014 school year.

**ANSWER: Objection, Plaintiff has exceeded the limitations of Rule 33, Federal Rules of Civil Procedure, as his requests for interrogatories exceed 25 written interrogatories, including all discrete subparts.**

11. Explain why, in 2014, you did not request “Outside Activities/Conflict of Interest” forms for Plaintiff's personal blogging.

**ANSWER: Objection, Plaintiff has exceeded the limitations of Rule 33, Federal Rules of Civil Procedure, as his requests for interrogatories exceed 25 written interrogatories, including all discrete subparts.**

12. Set forth any and all conduct of Plaintiff which you believe violated FAU's policies, describing for each alleged action or omission which policy was violated by Plaintiff, when each policy was violated and how.

**ANSWER: Objection, Plaintiff has exceeded the limitations of Rule 33, Federal Rules of Civil Procedure, as his requests for interrogatories exceed 25 written interrogatories, including all discrete subparts.**

13. Describe any and all potential, actual or perceived conflicts of commitment or interest you believe existed, or otherwise resulted from Plaintiff's personal blogging and online speech, and set forth the basis for your beliefs.

**ANSWER: Objection, Plaintiff has exceeded the limitations of Rule 33, Federal Rules of Civil Procedure, as his requests for interrogatories exceed 25 written interrogatories, including all discrete subparts.**

14. Identify any and all blogs of University personnel (including but not limited to officers, employees, agents and faculty members) which have been disclosed, monitored, or otherwise subjected to the University's "Outside Activities/Conflict of Interest" Policy, and identify all persons responsible for monitoring or reviewing the blogs.

**ANSWER: Objection, Plaintiff has exceeded the limitations of Rule 33, Federal Rules of Civil Procedure, as his requests for interrogatories exceed 25 written interrogatories, including all discrete subparts.**

15. Describe the University's "progressive" disciplinary process.

**ANSWER: Objection, Plaintiff has exceeded the limitations of Rule 33, Federal Rules of Civil Procedure, as his requests for interrogatories exceed 25 written interrogatories, including all discrete subparts.**

16. Explain why Plaintiff was terminated after submitting “Outside Activities/Conflict of Interest” forms for his personal blogging.

**ANSWER: Objection, Plaintiff has exceeded the limitations of Rule 33, Federal Rules of Civil Procedure, as his requests for interrogatories exceed 25 written interrogatories, including all discrete subparts.**

17. Identify all persons involved in the decision to discipline and/or terminate the Plaintiff.

**ANSWER: Objection, Plaintiff has exceeded the limitations of Rule 33, Federal Rules of Civil Procedure, as his requests for interrogatories exceed 25 written interrogatories, including all discrete subparts.**

18. Set forth any and all arrangements or agreements concerning the Plaintiff, including any agreements that were made concerning the discipline and/or termination of Professor Tracy; identify all persons involved in, and identify all documents concerning such arrangements or agreements, including but not limited to any communications, correspondence, e-mails, text messages or notes of conversations.

**ANSWER: Objection, Plaintiff has exceeded the limitations of Rule 33, Federal Rules of Civil Procedure, as his requests for interrogatories exceed 25 written interrogatories, including all discrete subparts. Further, the request is vague, as it fails to define “arrangements or agreements” for which Plaintiff seeks disclosure.**

19. Describe when and how you first learned about Plaintiff’s personal blogging, and set forth any and all actions, official or otherwise, undertaken after you learned about the blog.

**ANSWER: Objection, Plaintiff has exceeded the limitations of Rule 33, Federal Rules of Civil Procedure, as his requests for interrogatories exceed 25 written interrogatories, including all discrete subparts. Additionally, the request is vague, as it fails to define "actions, official or otherwise" for which Plaintiff seeks disclosure.**

20. Set forth any and all meetings with UFF, FEA, and/or UFF-FAU officers, agents, representatives and employees, telephonic or otherwise, which you participated in since January of 2013, and identify the subject of each meeting, and all persons who participated in such meetings, and any documents or communications concerning the meetings.

**ANSWER: Objection, Plaintiff has exceeded the limitations of Rule 33, Federal Rules of Civil Procedure, as his requests for interrogatories exceed 25 written interrogatories, including all discrete subparts. Additional, the request is overbroad, requesting identification of meetings with UFF, FEA, and/or UFF-FAU officers, agents, representatives and employees on any subject spanning a four year period.**



Diane Alperin

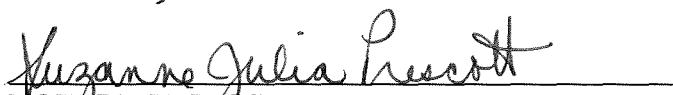
STATE OF FLORIDA )  
) ss:  
COUNTY OF Palm Beach)

Before me, the undersigned authority, appeared Diane Alperin,  who is personally known to me or  \_\_\_\_\_ as identification executed the foregoing and who did/did not take an oath on this 9<sup>th</sup> day of February, 20187



Suzanne Julia Prescott  
NOTARY PUBLIC  
STATE OF FLORIDA  
Comm# FF219039  
Expires 4/9/2019

(Notary Seal)



Suzanne Julia Prescott  
NOTARY PUBLIC  
State of Florida  
My Commission Expires: 4/9/2019