FORGING THE FUTURE

UAB'S STRATEGIC PLAN

[2018-2023]

Introduction

At UAB, we have never settled on merely finding what's next — we have helped build the future through new ideas and initiatives in the classroom, the laboratory, the studio and the clinic. The coming decade presents us with opportunities and challenges. How should we build on our strong foundation in order to meet them? The following plan, Forging the Future, offers a blueprint.

A strategic plan is the result of comprehensive strategic thinking that defines mission, vision, values and goals — and outlines institution-wide strategies for achieving them. The following plan lays out a set of goals and strategies that will guide our institution's investments over the coming years. It is not a detailed prescription for every school, department and administrative unit. Rather, it is a framework to guide units in shaping their plans, and to help them ensure that these plans are consistent with the university's mission and that they contribute to the accomplishment of institution-wide priorities. This plan allows schools and units to align their efforts with overall university direction and identify tactics to accomplish each element of our fourfold mission: education; research, innovation and economic development; community engagement; and patient care. The UAB Strategic Planning Council created a dashboard of university-level metrics that measure our collective progress toward meeting each goal. Schools and administrative units will be able to adapt these metrics to their own, complementary goals.

Foundations

Since 2013, UAB has been engaged in the most comprehensive strategic planning effort in its history. Much has been accomplished, including an inventory of our strengths, acknowledgment of the challenges facing us, and strategic investments in our infrastructure and programs with the aim of moving UAB to the forefront of excellence. (Background information on UAB strategic planning efforts is given in Appendix A: Evolution of Current Strategic Plan.)

Kindling the Flame: UAB Strategic Planning Council

To ensure efficiency and transparency in the ongoing strategic planning process, a Strategic Planning Council was appointed in summer 2016. (For membership, see Appendix B.) The Council has been involved in all aspects of the following plan, including selection of peer and aspirational institutions, and development of draft documents of directional strategies (e.g., mission, vision and shared values). Council members were also commissioned to chair the committees responsible for drafting goals and action plans for achieving success in each mission pillar.

The Strategic Planning Council held its first meeting on Sept. 1, 2016. In that meeting, President Ray L. Watts charged the Council with the responsibility of steering the ongoing planning process with the aid of input from all the university's constituencies. He also charged the group with developing a plan that:

- Is high-level and consistent with a dynamic university that will make accelerated and measureable strides in the coming months and years.
- Capitalizes on the momentum UAB has experienced in the last years and embraces that vision for our campus.
- Ensures the vitality of attracting the best and brightest students, faculty and staff.
- Reflects a desire to move UAB's research, discovery and performance achievements forward in a substantial way.
- Prepares students for the globally connected world they will be a part of as they graduate and effect change.
- Provides an unmatched teaching and learning experience for all UAB students.
- Infuses a comprehensive view of UAB's shared values of integrity, respect, diversity and inclusiveness, collaboration, excellence and achievement, stewardship, and accountability.

During its first session, the Council resolved to meet twice each month to ensure momentum was maintained throughout the strategic planning process.

Forging Together: Stakeholder Involvement

It was a fundamental commitment of President Watts to execute a strategic plan that encouraged input from all stakeholder groups. This required the development of a strategic communications plan that would reach out to as many stakeholders as possible, including students, faculty, staff and alumni. (The details of the strategic communications plan are provided in Appendix C.) The plan called for a series of listening sessions scheduled in centralized areas around the campus, including the medical center and in individual schools. (The schedule of these listening sessions is provided in Appendix D.) In addition, University Relations developed a website — **uab.edu/plan** — where all stakeholders had the opportunity to provide responses to three basic questions (anonymously, if they chose). These questions were:

- What is your current image of UAB?
- What is your vision for UAB in the next five years?
- Where do you think UAB should focus its strategic investments?

Twenty-five listening sessions were held, and more than 500 students, faculty, staff and alumni attended the sessions. In addition, 200 responses were collected through the website.

In addition to this invaluable input, the Strategic Planning Council incorporated suggestions and lessons learned from the UAB Campus Engagement Survey, which involved more than 6,000 faculty and staff and was carried out in April 2017. Results from the Engagement Survey are particularly reflected in the reshaped UAB values statement (see "Laying the Groundwork," below).

Our Golden Blaze: What Sets UAB Apart

The Council began its detailed discussions by considering a key question: What is the distinctive character of UAB? Although many special elements were suggested, the group agreed on these four points:

- UAB students have unique opportunities to work with funded researchers — motivated undergraduates can join a lab as early as their freshman year.
- UAB's location in an urban area, directly adjacent to a growing business district, offers numerous opportunities for both internships and experiential learning.
- UAB offers unique educational programs, as well as the ability to forge connections and professional and social networks that lead to lifelong success.
- UAB's entrepreneurial spirit, exemplified in the common description of the institution as a "university without walls," will only be more valuable as technological and scientific advances make interdisciplinary, groundbreaking work the key to success.

Where We Stand: Situation Analysis

The Strategic Planning Council determined to follow a systematic approach to strategic planning that required answering three important questions:

- **What should we be doing?** Because the rules of success of any organization are written outside by students, donors, accrediting agencies and more, an external environmental analysis was necessary to answer this question. Decision-makers must understand and be responsive to influential external individuals and groups.
- **What can we do?** This is the organization's strategic capability. To answer this question, strategic thinkers have to take an introspective look at the internal environment, which is composed of resources, human competencies and managerial capabilities (how resources and competencies are coordinated).
- **What do we want to do?** This question was to be answered through UAB's mission, vision and values statements, which reflect the desires and commitments of the organization and its leadership.

The first two questions were addressed by conducting a strengths, weaknesses, opportunities and threats (SWOT) analysis. The Council also examined the directional strategies (mission, vision and values) of UAB along with the existing mission pillars. Based on these analyses, the Council formed subgroups aligned with the university's mission pillars to formulate strategic goals for each pillar and develop action plans for addressing those strategic goals. (The process is outlined in the flow chart in Appendix E.)

In conducting the external environmental analysis, the Council was careful to consider other planning efforts ongoing at UAB as vital parts of the analysis. In reviewing the external environment, attention was given to integrating the UAB Campus Master Plan, Employee Engagement Survey, the UAB Health System's AMC 21 strategic plan and the budget planning model. (The results of the expanded SWOT analysis are provided in Appendix F.)

In addition to primary and secondary sources of information, the Council recognized that it was important to obtain the advice of an external resource knowledgeable of current trends in higher education to assist in its thinking about the future of UAB. To this end, the Council sought the services of John C. Cavanaugh, Ph.D., president and CEO of the Consortium of Universities of the Washington Metropolitan Area. Dr. Cavanaugh conducted an intensive half-day retreat for the Council on Dec. 10, 2016, which provided valuable insights into trends and developments in higher education.

Refining the Field: Peer Institutions

As part of its discussion of influential factors, Allen Bolton, UAB's vice president for Financial Affairs and Administration, led an effort to update and refine a list of peer and aspirational institutions. (For details, see Appendix G.) The Council agreed that identifying comparable metrics with peer and aspirational institutions in the following areas would be helpful:

- **Academic/Student Success** – including enrollment, graduation and reputation benchmarks.
- **Financial Success** – including total revenue and Moody's credit rating.
- **Research Success** – including self-reported research expenditures, NIH ranking and AAU membership status.
- **Patient Care Success** – including number of specialties on the U.S. News & World Report "Best Hospitals" list and Becker's Hospital Review.
- **Athletics** – including conference affiliations and number of teams fielded.

Importantly, across all domains there are additional metrics/characteristics/key indicators by which we can benchmark our current position and future success.

Based on this assessment, six universities were selected as comparable peers:

- University of California – Irvine
- University of Cincinnati
- University of Illinois – Chicago
- University of South Florida
- Virginia Commonwealth University
- Rutgers University

Two universities were selected as aspirational peers, since they excelled in areas that are particularly important for the future of UAB, including research expenditures and enrollment:

- University of California – San Diego
- University of Pittsburgh

Laying the Groundwork

UAB had established statements of mission, vision and values before the initiation of this round of strategic planning. During its deliberations, the Strategic Planning Council reviewed and revised these "directional strategies." The updated statements are below.

Vision
One university inspiring and empowering the creation of knowledge that changes the world.

Mission
UAB serves students, patients, the community and the global need for discovery, knowledge dissemination, education, creativity and the application of groundbreaking solutions. We are a leader among comprehensive public urban research universities with academic medical centers.

Shared Values
- **Integrity** – We act ethically and do what is right.
- **Respect** – We treat others with courtesy and civility.
- **Diversity and inclusiveness** – Everybody counts every day. We actively seek varied perspectives in our decision making.
- **Collaboration** – We trust each other and work cooperatively across disciplinary boundaries in the spirit of shared governance.

- **Excellence and achievement** – We constantly innovate, solve problems and improve ourselves and others through learning.
- **Stewardship** – Fiscal and environmental sustainability guide our decisions.
- **Accountability** – We are answerable to each other and act with the best interest of the university in mind.

Our vision, mission and values provide a framework and common language for collaboration and strategic goals that will build on our strong foundation. We serve students and patients while recognizing that we are also embedded in a vibrant community.

Mission Pillars

The foundation of the university mission rests on four fundamental pillars. These are:

Education: Provide 21st century, world class, socially responsible education that prepares diverse students to lead, teach, provide professional services and become prominent scholars and societal leaders of the future.

Research, Innovation and Economic Development: Pursue research, scholarship and creative activities that spur innovation, make UAB a vibrant cultural center and expand our capability to continually discover and share new knowledge.

Community Engagement: Encourage partnerships that advance education, the arts and humanities, health, economic prosperity and a fulfilling quality of life through service at home and around the globe.

Patient Care: Deliver the highest quality patient care that reflects our ability to translate discoveries into revolutionary therapies in one of the nation's largest academic medical centers.

In order to provide a more detailed examination of the actions required to address the four mission pillars, subcommittees were formed for each mission pillar and a chairperson was named to lead in the development of an action plan for that pillar. The chairs were members of the Strategic Planning Council, but each chair was encouraged to engage as many colleagues as necessary across all areas of the university to assist in the development of the action plans. A list of the participants in the action planning sessions is provided in Appendix H.

Results from the campus community listening sessions were provided to the chairs of the Mission Pillar subcommittees. The chairs were asked to incorporate this information and formulate action plans for their individual areas. After a series of reviews, refinements and revisions each subcommittee presented its action plan.

Forging the Future: Subcommittee Action Plans

Mission Pillar: EDUCATION

Strategic Goal:

Offer a world-class, socially conscious education to diverse students to prepare the next generation of citizens and leaders. We are student-centered and consider the impact on students in what we do as a university.

Strategic Objective 1: Strengthen and expand innovative academic programs to enhance UAB's national and global reputation.

- *Activity 1: Deliver world-class, interdisciplinary academic programs.*

- *Activity 2: Promote innovative instructional practices and provide multiple educational delivery options.*

- *Activity 3: Retain, recruit and develop world-class faculty members to lead these programs.*

Strategic Objective 2: Ensure student success through holistic development that addresses diverse needs.

- *Activity 1: Improve retention and four- and six-year graduation rates significantly within next five years.*

- *Activity 2: Remove barriers and provide access and relevant academic and social support structures in order for students to attend and be successful at UAB.*

- *Activity 3: Retain, recruit and develop outstanding student-centered faculty and staff to support student success.*

Strategic Objective 3: Create a signature core curriculum focused on modeling and developing socially conscious global citizens and leaders.

- *Activity 1: Identify competencies that are critical for a core curriculum that addresses 21st century needs (e.g., critical thinking, global perspectives, leadership, communication).*

- *Activity 2: Strengthen and renew the core curriculum to provide a coherent, intellectually stimulating and transformative education.*

- *Activity 3: Model successful engagement opportunities by students, faculty and staff around issues related to social consciousness, global citizenship and leadership.*

Strategic Objective 4: Engage students, faculty, staff and community members in experiential learning.

- *Activity 1: Remove barriers to participation in experiential learning opportunities.*

- *Activity 2: Encourage participation in experiential learning opportunities throughout campus and beyond.*

- *Activity 3: Promote the unique culture of experiential learning opportunities at UAB.*

Strategic Objective 5: Foster access, inclusive excellence and equity in teaching, learning and mentorship development programs.

- *Activity 1: Increase participation in current teaching, learning and mentorship programs.*

- *Activity 2: Align teaching, learning and mentorship development programs across the UAB enterprise.*

- *Activity 3: Foster a culture of learning that supports and encourages academic, professional and personal development for students, faculty and staff.*

Mission Pillar: RESEARCH, INNOVATION & ECONOMIC DEVELOPMENT

Strategic Goal:

Empower innovative research, scholarship and creative activities that drive knowledge creation focused on improving society.

Strategic Objective 1: Enhance UAB's institutional culture of collaboration and innovation.

- *Activity 1: Create an environment and opportunities that facilitate collaboration and foster innovation.*

- *Activity 2: Promote successful interdisciplinary research collaborations internally and externally.*

- *Activity 3: Expand and strengthen collaborations with external partners.*

Strategic Objective 2: Drive research and innovation across the enterprise.

- *Activity 1: Grow and diversify research, scholarship and creative activities.*

- *Activity 2: Retain, recruit and develop outstanding, innovation-focused faculty, staff and students.*

Strategic Objective 3: Implement a campuswide effort to select and meet "grand challenges."

- *Activity 1: Establish inclusive processes for identification of priorities.*

- *Activity 2: Align resources to enable action.*

- *Activity 3: Implement competitive processes to select research teams.*

Strategic Objective 4: Improve society through processes and products.

- *Activity 1: Facilitate intellectual property development.*

- *Activity 2: Streamline internal processes to lower barriers to realizing innovative ideas.*

- *Activity 3: Support economic development in the city of Birmingham to transform and sustain a thriving local hub for innovation and creativity.*

Mission Pillar: COMMUNITY ENGAGEMENT

Strategic Goal:

Engage with the community in meaningful and mutually beneficial collaborations that contribute to the public good.

Strategic Objective 1: Expand access to community engagement resources.

- *Activity 1: Coordinate community engagement efforts among faculty, staff and students.*

- *Activity 2: Collaborate with area partners in planning, assessment and evaluation of efforts.*

- *Activity 3: Enhance student development as engaged learners, researchers and citizens by fostering community-based opportunities.*

Strategic Objective 2: Develop mutually beneficial partnerships.

- *Activity 1: Identify, develop and maintain strategic community partners.*

- *Activity 2: Intentionally connect community partners with UAB faculty, staff and student initiatives wherever appropriate.*

Strategic Objective 3: Broaden scholarship in the field of community engagement.

- *Activity 1: Develop and sustain an adequate internal infrastructure to support and coordinate academic community engagement research among faculty, students and staff.*

- *Activity 2: Identify new research opportunities that add value to people and communities served.*

- *Activity 3: Create and support a community of scholars interested in studying community engagement topics and impacts.*

Strategic Objective 4: Integrate engagement throughout the university.

- *Activity 1: Support and promote community engagement activities in their areas.*

- *Activity 2: Increase participation of a wider set of academic and administrative units to achieve community engagement strategic goals and outcomes.*

- *Activity 3: Reinforce value of engagement through performance review process.*

Mission Pillar: PATIENT CARE

Strategic Goal:

Lead in the delivery of the highest-quality patient-centered integrative care that reflects our ability to translate discoveries into revolutionary therapies in one of the nation's premier academic health care centers.

Strategic Objective 1: Improve patient access and satisfaction through integration of clinical services across UAB's health care delivery entities.

- *Activity 1: Develop a phased process of integrating care.*

- *Activity 2: Enhance patient experience, from appointment process to wayfinding to post-care communication.*

- *Activity 3: Achieve national recognition as a place where patients experience highly satisfying health care services.*

Strategic Objective 2: Invest in signature treatments that will be delivered through recognized flagship programs.

- *Activity 1: Identify distinctive areas of expertise that generate prestige and set UAB apart from competitors.*

- *Activity 2: Retain and recruit world-class faculty and staff to develop and provide these treatments.*

Strategic Objective 3: Develop infrastructure to ensure statewide access to telehealth services.

- *Activity 1: Create a centralized system to support existing and new telehealth programs at UAB.*

- *Activity 2: Develop a network of partnerships across the state to enhance patient access.*

Maintaining the Blueprint: Theme Development and Guiding Principles

The final drafts of the Mission Pillar subcommittee action plans were examined to determine the recurring themes that transcended all the reports. The reason for searching for themes is illustrated in the diagram in Appendix I.
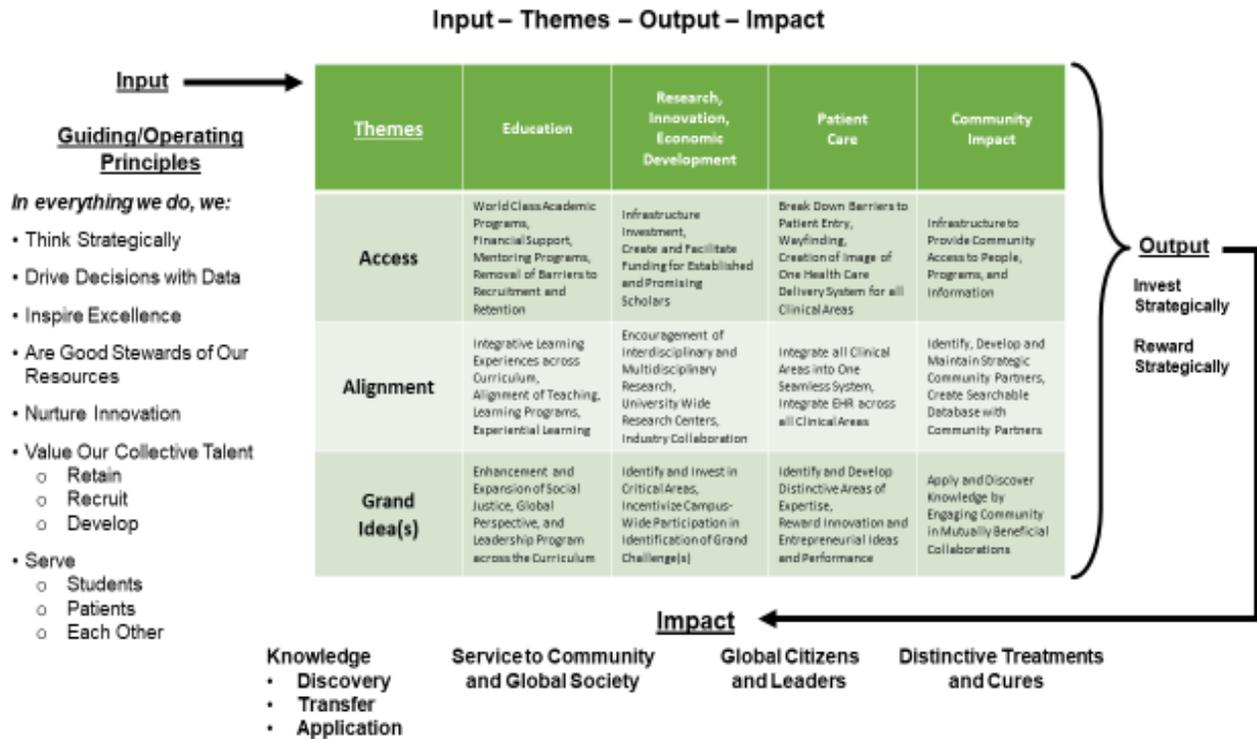
A careful examination of the four Mission Pillar subcommittee reports revealed a total of 19 strategic objectives and 65 associated activities. The Education subcommittee had five strategic objectives and 18 associated activities; Research, Innovation and Economic Development had four strategic objectives and 13 activities; Patient Care had four strategic objectives and 13 activities; and Community Impact had six strategic objectives and 21 activities. The goal was to identify recurring themes and thereby reduce the number of strategic objectives and associated activities to a more manageable number.

Three major themes ran throughout the Mission Pillar subcommittee action plans: Access, Alignment and Grand Idea. All the groups indicated that it was important to provide **access** to students relative to enrollment and to researchers relative to grant support and infrastructure, to

provide community partners access to university resources, and to offer patients easier access to UAB's world-class health-care enterprise. The groups also agreed on the need for greater **alignment** — of courses in the curriculum and investigators in different disciplines, as well as electronic health record systems and engagement efforts within and outside the university. Finally, the groups shared a vision for the inspiring power of **Grand Ideas**, bold challenges that bring faculty, students, staff and the community together.

The Mission Pillar subgroups also noted that there were certain guiding or operating principles that should govern all our activities. These are continuous strategic thinking; data-driven decision-making; nurturing of innovations; inspiring excellence; retaining, recruiting and developing our collective talent; serving our students, our patients and each other; and exercising stewardship over the resources entrusted to us.

There was consensus that if we focus on our common themes, and behave consistently with our guiding and operating principles, we will make our investments in the future in a manner that moves us toward our vision and rewards those who contribute most to the process. The impact will be significant: knowledge discovery, transfer, and application; service to the community and to the global society; distinctive medical treatments and cures; and students, faculty and staff who are global citizens and leaders.

Funding the Plan: Resources

No strategic plan would be complete without considering the resources needed to execute the ideas and recommendations presented in the plan. As the very foundation of this strategic plan, the shared values of stewardship and accountability indicate the importance of fiscal stability and creating the opportunity to invest in ways that will serve the best interests of the university.

Investment strategies should be consistent with the guiding principles of continuous strategic thinking, data-driven decision-making, innovation, excellence and stewardship of our resources. Concurrently, this requires a careful analysis of current programs to ensure that resources are allocated to strategic priorities, efficiencies are leveraged, and sustainable and diverse resources

are advanced. In this regard, new or enhanced priorities may be funded by the redeployment of existing funds from lower priorities or via recaptured revenue due to cost savings within or across units. The university's new budget model will create a platform where the alignment of financial resources to our strategic priorities is more easily accomplished. Sources of new revenue for investment in strategic priorities may be external (e.g., grants, gifts, corporate investments) or internal. One of the internal sources for supporting aspects of Forging the Future is the **Strategic Investment Fund (uab.edu/plan/strategic-investment-fund)**, which is designed to help enable large, cross-institutional initiatives that will have significant impact throughout the university and impacting multiple schools.

Moving Forward

As UAB's strategic plan is implemented, the entire campus community remains engaged in the process. The Grand Challenge process is advancing as proposals are being considered. Stakeholders from across our educational mission will make recommendations on strengthening and renewing the Core Curriculum. Schools and units will determine how best to implement the plan's goals and objectives in their own strategic thinking. Everyone has a role as we embark on Forging the Future together.

Grand Challenge

UAB's past teaching, scholarship, patient care and service demonstrates a rich history of serving society. Going forward, we must muster our individual and collective strengths to address significant and pressing needs that will result in a positive and tangible outcome for our university, our city, our state and society overall. In other words, we need to define one or more Grand Challenges, address them and solve them. A Grand Challenge is a significant problem that when solved will positively impact a large number of people and society in general. Progress toward a solution requires a combination of innovative approaches, technologies, treatments and/or policies. Interdisciplinary and convergent approaches are essential.

Learn more at **uab.edu/plan/grand-challenge**.

Signature Core Curriculum

A core curriculum is required of undergraduates to ensure a foundational academic experience. This common set of courses develops fundamental skills, breadth of intellectual perspectives, and habits of mind that are critical for success in college and beyond. The concept of a core curriculum began in the early part of the 20th century and continues to be a transformative and vital component of a college education. A core curriculum advances a student's competencies and provides an opportunity for shared intellectual conversations on the questions that are the basis of human societies.

At UAB, the core curriculum has been in place for many years with minor revisions. It currently promotes six competencies that build the foundation for attaining the Shared Vision for a UAB graduate. As the new strategic plan refines the values, mission and vision of the institution, it is appropriate to revisit the Core to strengthen and renew this Curriculum.

Learn more about the Signature Core Curriculum effort at **uab.edu/plan/signature-core-curriculum**.

Determining Metrics

The process of creating dashboard metrics helps us answer the question "How will we know if we have reached our goals, and how will we prove it?" The metrics will keep the university community informed of our progress in each area. As we move forward, these metrics will guide an annual review and assessment process that will inform planning adjustments and priorities for future years.

Learn more about Dashboard Metrics for Forging the Future at **uab.edu/plan/measuring-progress**.

Aligning Schools/units to University-wide Plan

Deans and vice presidents will be charged with aligning their schools and units to the plan. As stated previously, the university-wide plan is constructed in such a way as to provide directional guidance for schools and units. It is not meant to be prescriptive or overly detailed because UAB's schools and units are multifaceted and complex enough to preclude a "one-size-fits-all" approach. It will be incumbent upon vice presidents and deans to cascade the university goals down to the departmental level.

Appendix A
Evolution of Current Strategic Plan

In 2015, a Strategic Planning Subcommittee of the President's Cabinet was formed, consisting of Linda Lucas, provost; Anne Buckley, chief communications officer; Allen Bolton Jr., vice president, Financial Affairs and Administration; John Jones, vice president, Student Affairs; Richard Marchase, vice president, Research and Economic Development; Tom Brannan, vice president, Development and Alumni; and Josh Carter, administrative director, Office of the President. Jack Duncan, professor and University Scholar *emeritus*, was asked to facilitate the meetings of the Subcommittee.

The initial meeting of the Strategic Planning Subcommittee was held Oct. 26, 2015. The first meeting was devoted to reviewing three important planning documents — the AMC 21 Reload, institution-wide initiatives and priorities, and the strategic fund allocations. Members were also asked to review the UAB mission pillars and the previously published strategic plan. It was agreed that the most important first step in continuing the strategic thinking process was to consider carefully the changes that had taken place since the beginning of UAB's current strategic planning process in 2013.

The subcommittee recognized that the ongoing strategic thinking process of the leadership team required understanding the nature and magnitude of the changes taking place. To begin thinking about these changes, a meeting was scheduled for Dec. 8, 2015. The goal of the meeting was to identify the most important changes that had occurred since the publication of the first phase of the UAB strategic plan in 2014. Appendix A.1 provides a list of important changes that have taken place in the world, the state of Alabama, higher education and the university during this period.

An equally important outcome of this meeting was a report from Mr. Bolton, who indicated that he had been looking at institutions that constituted UAB's strategic group or peer institutions. This group was composed of a sample of universities that were essentially similar to UAB based on a variety of comparable metrics. The initial group of peer institutions included the following:
- Virginia Commonwealth University
- University of Buffalo
- University of South Florida
- University of Louisville
- University of Central Florida
- University of Cincinnati
- University of Illinois – Chicago

Each member of the subcommittee was assigned one of the comparable institutions and "probed" deeper into the strategic plans of each. Subcommittee members agreed to report on any important insights the plans for these institutions might offer for the UAB strategic planning process. In the following meeting Jan. 26, 2016, the subcommittee reviewed the plans. At that time, Allen Bolton had developed the metrics for identifying peer institutions and committed to sharing a more comprehensive comparison at a later meeting. It should be noted that the comparison resulted in a more comprehensive analysis and listing of peer and aspirational institutions to be discussed in a following section.

Appendix A.1
Important Changes Since 2014

Attendees: Linda Lucas, provost; Anne Buckley, chief communications officer; Allen Bolton Jr., vice president, Financial Affairs and Administration; Richard Marchase, vice president, Research and Economic Development; Tom Brannan, vice president, Development and Alumni; Josh Carter, administrative director, Office of the President; Jack Duncan, professor and University Scholar *emeritus*.

Change	Description
World Terrorism increase — physical and especially cyber	Developments in Paris and the West Coast of the United States have increased concern that terrorism has now come to the shores of America. Dangers of cyberterrorism have been more apparent with recurring hacking of key systems.
Globalism	Globalism continues to be the reality in all areas of contemporary life, with significant implications for higher education.
Student activism	Developments at the University of Missouri and other campuses suggest students and their families will increasingly insist on providing input into key university decisions.
Cloud computing, big data and analytics	Technology in these areas will evolve into increasingly complex challenges and research issues that require larger and larger data processing and analysis capabilities.
Improving global economy	Provides a ray of hope for student recruitment and funding.
State Alabama Unite	Actions of Legislature in raiding the Education Trust Fund, educational institutions and interests at all levels from pre-K to higher education have united to protect the interests of education.

Medicaid expansion	Continued uncertainty about the expansion of Alabama Medicaid will have important implications for patient care.
Higher Education and AMC Online education	Increasing sophistication and evolution of Canvas, connectivity and changing methods of communication (e.g., social networking) creates unique challenges and opportunities.
Falling number of quality high school graduates	Fewer Alabama youth are graduating from high school, and a significant number of those cannot adequately read and write at a college level.
Parental activism	Involvement of parents, donors and other interested parties in curriculum planning, student evaluations, admission process, etc.
UAB Athletics	Likely increased pressure for funding and facilities. Community involvement in university decision-making relative to athletics limits flexibility in internal resource allocation.
Significant number of new individuals on university leadership team	Large number of key administrators are new to UAB. Creates significant opportunities and challenges.
Changing residential and undergraduate nature of campus	University has become increasingly residential with resulting increases in demand for student services and programs.
Health system	Demands for growth pushing Health System to engage in the evaluation of less historically conventional strategies (e.g., mergers, acquisitions, management contracts, etc.

Appendix B
Strategic Planning Council Membership

Pam Benoit, Ph.D., co-chair
Senior Vice President for Academic Affairs and Provost
Representing: Office of the Provost

Allen Bolton, co-chair
Vice President for Finance and Administration
Representing: Financial Affairs and Administration

Anne Buckley, co-chair
Chief Communications Officer
Representing: University Relations

Anupam Agarwal, M.D.
Executive Vice Dean
Representing: School of Medicine

Suzanne Austin, Ph.D.
Senior Vice Provost and Senior International Officer
Representing: Office of the Provost

Bradley Barnes, Ph.D.
Vice Provost for Strategic Enrollment Management
Representing: Office of the Provost

Christopher Brown, Ph.D.
Vice President for Research
Representing: Research

Dan Carlson
Senior Associate Athletics Director, Administration
Representing: Athletics

Josh Carpenter, Ph.D.
Community Relations
Representing: President's Office

Josh Carter, Ph.D.
Administrative Director
Representing: President's Office

Fernando Colunga-Medina
President, Undergraduate Student Government Association
Representing: Student government

Paulette Patterson Dilworth, Ph.D.
Vice President for Diversity, Equity and Inclusion
Representing: Office of Diversity, Equity and Inclusion

Alecia Gross, Ph.D.
Past Chair, Faculty Senate
Representing: Faculty

Ginger Hattaway
Staff Council Representative
Representing: Staff

John Jones, Ph.D.
Vice President for Student Affairs
Representing: Student Affairs

Haley Kendrick
President, UAB Graduate Student Association
Representing: Student government

Jim McClintock, Ph.D.
University Professor, Department of Biology
Representing: Faculty

Kathy Nugent, Ph.D.
UAB Bill L. Harbert Institute for Innovation and Entrepreneurship
Representing: Research and Innovation

Bob Palazzo, Ph.D.
Dean
Representing: College of Arts and Sciences

David Randall, Ph.D.
Senior Vice President, Strategy and Business Development
Representing: UAB Health System

Jack Duncan, Ph.D.
Professor *Emeritus*, Collat School of Business,
School of Public Health
Facilitator

Raymond Thompson, Ph.D.
President, UAB National Alumni Society
Representing: Alumni

Appendix C
Communicating UAB's Strategic Plan

University Relations: Nov. 11, 2016

Goal
To generate awareness of UAB's strategic planning process to prompt feedback from target audiences and to foster buy-in of the plan.

Audiences
- Faculty
- Staff
- Students
- Alumni
- Community
- Media

Objectives
- To inform target audiences that strategic planning is underway and that all processes and progress will be transparent and inclusive.

- To communicate final plan to target audiences to build understanding of the individual's role in success to ensure buy-in.

Strategies
Objective 1
- Create website for strategic plan (uab.edu/plan) and drive all traffic to it.
- Gather input from stakeholders with three questions
    - Create feedback form on SP website
- Publicize feedback form
    - Social media campaign (UAB and CCAG)
    - Internal communications
        - eReporter/Green Mail
        - President's blog and newsletter
        - Digital signage
        - Home page
        - BlazerNet
- Establish town hall dates, venues, audience and moderator
    - Communicate these events through all channels

Objective 2
- Rollout of plan to all audiences
    - Communicate via all channels used for input
    - Town hall, website (home page), internal communications
- Employ executive communications to reinforce the plan via the brand
    - School, College and Unit presentations
    - Repeated mentions, examples and successes in speeches and remarks
    - President's blog and newsletter
- Show examples of the plan in action (using the brand/logo)
    - All communications that reflect a plan success (new hires/awards/scholarships/ grants/etc.) will include plan logo and a reference to the plan
    - Videos of faculty, staff and students talking about how their work is part of the plan
    - Social media campaign with these assets around the plan
- Media relations around the plan (local and state business media, Chronicle, Inside Higher Ed pitch, student media)
- Paid efforts around the plan
    - Ads in Chronicle, IHE, business pubs
- Empower leadership to talk about plan
    - Talking points
    - Elevator speech
    - Video

Timeline
- Input seeking weeks of Nov. 14, 27 and first weeks of December
- Repeat input seeking throughout January
- Compile input concurrently
- Aim to communicate new plan in April/May 2017

Appendix D
Schedule of Listening Sessions Jan. 23, 2017 – March 10, 2017

| Audience	Facilitator(s)	Date, Time, Location, Number of Attendees
Optometry Faculty	Josh Carter, Ph.D., Administrative Director, UAB President's Office; Jack Duncan, Ph.D., Professor and University Scholar *Emeritus*, Collat School of Business and School of Public Health, SP Council Facilitator	March 10, 2017 HPB 301 15 attendees
School of Business Executive Leadership Group	Drs. Josh Carter and Jack Duncan	March 9, 2017 BEC 320 11 attendees
School of Public Health Faculty & Staff	Drs. Josh Carter and Jack Duncan	March 9, 2017 RPHB 125 25 attendees
School of Medicine – Clinical Faculty	Drs. Josh Carter and Jack Duncan	March 9, 2017 West Pavilion Board Room 15 attendees
UAB Libraries Faculty/Staff	Drs. Josh Carter and Jack Duncan	Mervyn Sterne Library Room 163 35 attendees
School of Dentistry Faculty/Staff	Anne Buckley, Chief Communication Officer, and Dr. Josh Carter	March 7, 2017 Finley Conference Center 25 attendees

School of Health Professions Faculty/Staff	Drs. Josh Carter and Jack Duncan	March 7, 2017 SHPB 640 35 attendees
School of Education Faculty	Drs. Josh Carter and Jack Duncan	March 6, 2017 EB 149F 15 attendees
School of Medicine – Joint Health Sciences Faculty	Drs. Josh Carter and Jack Duncan	March 6, 2017 Finley Conference Center 20 attendees
School of Engineering	Drs. Josh Carter and Jack Duncan	March 3, 2017 BEC 155 15 attendees
School of Nursing Faculty/Staff	Drs. Josh Carter and Jack Duncan	March 1, 2017 LRC 102 25 attendees
Honors College Faculty/Staff	Drs. Josh Carter and Jack Duncan	March 1, 2017 HHB 524 20 attendees
UAB Athletics Coaches/Staff	Derita Ratcliffe, Senior Associate Athletic Director, and Anne Buckley	Feb. 14, 2017 Green & Gold Room Bartow Arena 70 attendees
General	Anne Buckley and Dr. Josh Carter	Feb. 13, 2017 Hill Student Center Auditorium 10 attendees
	Paulette Patterson Dilworth, Ph.D., Vice President for Diversity, Equity and	

College of Arts and Sciences Faculty	Inclusion; Jim McClintock, Ph.D., Endowed University Professor, Department of Biology; Allen Bolton, Vice President for Finance and Administration; and Dr. Josh Carter	Feb. 10, 2017 HHB 104 45 attendees
Students	Fernando Colunga-Medina, USGA President, and Haley Kendrick, GSA President	Feb. 8, 2017 Hill Student Center Auditorium 15 attendees
Alumni	Raymond Thompson, Ph.D., President UAB National Alumni Association, Drs. Josh Carter and Jack Duncan	Feb. 8, 2017 Hill Student Center Auditorium 2 attendees
Staff	Ginger Hattaway and David Rhodes, Staff Council Representatives	Feb. 8, 2017 Hill Student Center Auditorium 40 attendees
General	Anne Buckley and Dr. Josh Carter	Feb. 8, 2017 Hill Student Center Auditorium 25 attendees
Alumni	Raymond Thompson, Ph.D., and Dr. Josh Carter	Feb. 6, 2017 Alumni House 20 attendees
Faculty	Alicia Gross, Ph.D., Past Chair, Faculty Senate	Jan. 26, 2017 West Pavilion Conference Center Room E 8 attendees
Staff	Ginger Hattaway and David Rhodes	Jan. 25, 2017 Finley Conference Center

		30 attendees
Faculty	Alecia Gross, Ph.D.	Jan. 25, 2017 Hill Student Center Auditorium 6 attendees
Alumni	Drs. Raymond Thompson and Josh Carter, and Anne Buckley	Jan. 24, 2017 Hill Student Center Auditorium 4 attendees
Students	Fernando Colunga-Medina and Haley Kendrick	Jan. 23, 2017 Hill Student Center Auditorium 15 attendees

Appendix E
Process of UAB Strategic Plan
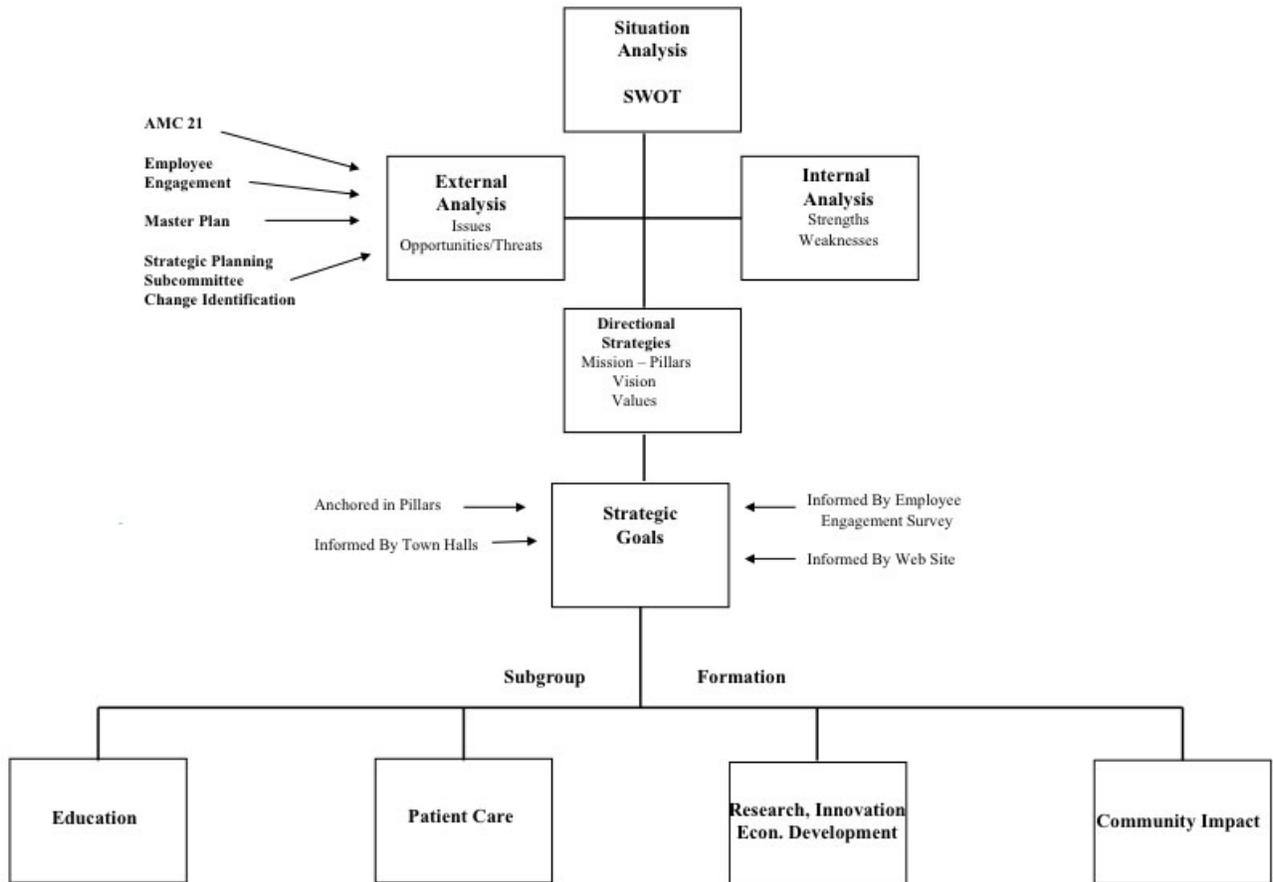
Appendix F
SWOT Analysis

UAB Strategic Planning Council
Oct. 24, 2016

(Those items marked with an asterisk (*) were common responses across multiple instruments: the recent SWOT survey that was sent to the Council, focus groups conducted during UAB's digital marketing strategy study, and/or UAB's recent fiscal rating review conducted by Standard & Poor's.)

Strengths
- Traditional campus in an urban location*
- Research and accessibility to research*
- Strength and reputation of AMC*
- Momentum (student enrollment, engagement, performance)*
- Stable financial performance/good balance sheet and enrollment
- New leadership bringing in best practices in higher education*
- Strong NIH funding*
- Diversity*
- Commitment to community
- Economic engine for Alabama
- Highly collaborative environment*
- Youth of institution
- Great place to work
- Affordability*

Weaknesses
- Inadequate resources
- Decentralized culture
- Sprawling budget
- Lack of shared vision
- Located in Alabama (have to overcome perception)*
- Dead wood
- Inferiority complex*
- Slow revenue growth
- Siloed thinking/behavior

- Inability to measure and discontinue sub-performing initiatives
- Reputation of administrative bureaucracy
- Limited research and funding outside health-related fields
- Best-kept secret in higher education*
- Undergrad quality and reputation are poor
- One-dimensional research portfolio
- Low retention rates
- Low graduation rates
- Low name recognition outside of Alabama*
- Institutional fear of offending
- Fear of change

Opportunities
- Birmingham's resurgence
- Out-of-state/out-of-country recruitment
- Nimble, up-and-coming, can-do attitude
- Improve graduation and retention rates
- Substantially broaden research portfolio
- Develop online education strategy
- Strategic community engagement
- Growing capacity for economic development
- Improve computational capacity
- Technology, research and education
- Affordability*

Threats
- Continued cultural tensions nationwide around racial, religious, gender and sexual identities
- Diminishing state funding*
- Undisciplined approach to issues and crisis management
- Rising cost of higher education
- Federal policy changes (ACA/FLSA/Title IX)*
- Rising credibility of other education/training providers
- Increasing global and regional competition in research and higher education*
- Lack of mature and economically reliable alumni base
- Local and state government*
- Parental hovering
- Student activism

- Lack of qualified high school graduates in Alabama
- Citizen journalists

Appendix G
Peer and Aspirational Institutions

An initial list of five universities was considered as possible peers of UAB. The first screening of these institutions filtered the group based on the following factors:

- Private/Public
- Four-year doctoral
- Primarily nonresidential
- Enrollment over 10,000
- Mid- or large-size city
- Carnegie "Very High Research" designation
- Annual revenue over $800 million
- Grants medical degrees
- Has a hospital or not
- FBS athletics or not

Based on the initial screening, 27 of the 56 institutions were categorized as absolute peer, near peer or second-tier peer. Twenty-nine of the institutions dropped off the list. The remaining 27 institutions were compared on academic performance/reputation variables, financial performance variables, research variables, hospital reputation variables, and NCAA athletic conference, as illustrated below. Comparable data were obtained from IPEDS, U.S. News & World Report, Moody's Rating Service HERD report, BlueRidge Report, AAU website, Becker's Hospital Review, and NCAA.

- Student enrollment numbers by tiers
- Six-year graduation rate
- Admissions-to-enrollment rate by tiers
- U.S. News' Best Colleges rankings by tiers
- Total revenue by tiers
- Moody's credit rating
- Self-reported research expenditures by tiers
- NIH ranking by tiers
- AAU or not
- Becker's Hospital Review or not
- U.S. News' Best Hospital rankings by tiers
- Athletics conference

Appendix H
Participants in Mission Pillar Subcommittees

EDUCATION:
CHAIR: Suzanne Austin
Patricia Baker (Faculty Senate/Libraries)
Courtney Bentley (Education)
Josh Carter (President's Office)
Fernando Colunga-Medina (USGA)
Zoe Dwyer (Engineering)
Peter Ginter (Public Health)
Jeffrey Graveline (Libraries)
Craig Hoesley (Medicine)
John Jones (Student Affairs)
Haley Kendrick (GSA)
Karen Kennedy (Business)
Ashley Kuntz (Honors)
Brandi Lamon-Pinkerton (Provost Office)
John Laurent (Optometry)
Jim McClintock (CAS)
Lori McMahon (Graduate School)
Mugdha Mokashi (Multicultural/Diversity Programs)
Linda Moneyham (Nursing)
Robert Palazzo (CAS)
Pam Paustian (eLearning)
Derita Ratcliffe (Athletics)
Cheryl Robinson (Nursing/Faculty Senate)
Donna Slovensky (Health Professions)
Garrett Stephens (GSA)
Ken Tilashalski (Dentistry)

RESEARCH, INNOVATION AND ECONOMIC DEVELOPMENT:
CHAIR: Kathy Nugent
David Allison (Health Professions)
Anupam Agarwal (Medicine)
Iwan Alexander (Engineering)
Louis Bridges (Medicine)
Christopher Brown (VP Research)
Josh Carter (President's Office)
Victor Darley-Usmar (Medicine)
Alan Eberhardt (Engineering)
Alecia Gross-Gutierrez (Optometry/Faculty Senate)
Haley Kendrick (GSA)
Robert Kimberly (Medicine/CCTS)
Lori McMahon (Graduate School)

Robert Palazzo (CAS)
Raymond Thompson (Alumni)
Art Tipton (Southern Research)
Yogesh Vohra (CAS)
Molly Wasko (Business)

COMMUNITY IMPACT:
CO-CHAIR: Josh Carpenter (President's Office)
CO-CHAIR: Paulette Dilworth (Vice President, Diversity, Equity and Inclusion)
Shauntice Allen (Public Health)
Amy Badham (Service Learning)
Andrew Baer (CAS)
Kristin Boggs (Medicine)
Joy Deupree (Nursing)
Linda Gunter (University Relations)
Jennifer Griffin (Student Involvement)
Lisa Higginbotham (Benevolent Fund)
Anthony Hood (Business)
Tina Kempin Reuter (CAS)
Haley Kendrick (GSA)
Robert Kleinstein (Optometry)
Michael James Liptrot (Student Involvement)
Tracy Lyons (Student Engagement)
Maria Norena (Medicine/Health Disparities)
Julie Price (Facilities/Sustainability)
Lourdes Sanchez-Lopez (CAS)
Susan Spezzini (Education/Faculty Senate)
Sheikilya Thomas (Medicine)
Jeffery Walker (CAS)
Brandon Wolfe (Diversity, Equity, Inclusion)
Michael Wyss (Faculty Senate)

PATIENT CARE:
CO-CHAIR: Anupam Agarwal (Medicine)
CO-CHAIR: Ginger Hattaway (Dentistry)
CO-CHAIR: David Randall (Hospital)
Timothy Garvey (Health Professions)
Nicolaas Geurs (Dentistry)
Daniel Givan (Dentistry)
Adam Gordon (Optometry)
Chung How Kau (Dentistry)
James Kilgore (Health Professions)
David Morris (Health Professions)
Patricia Patrician (Nursing)
Cynthia Selleck (Nursing)
Elizabeth Steele (Optometry)

Appendix I
Conceptual Framework for Common Themes