Confidential Position Specification

The University of Alabama at Birmingham
Vice President of Research

June 2016
POSITION SPECIFICATION

<table>
<thead>
<tr>
<th>Position</th>
<th>Vice President of Research</th>
</tr>
</thead>
<tbody>
<tr>
<td>Organization</td>
<td>The University of Alabama at Birmingham</td>
</tr>
<tr>
<td>Location</td>
<td>Birmingham, Alabama</td>
</tr>
<tr>
<td>Reporting</td>
<td>The Vice President of Research will report to the President</td>
</tr>
<tr>
<td>Websites</td>
<td>The University of Alabama at Birmingham; Research at UAB</td>
</tr>
</tbody>
</table>

THE OPPORTUNITY

It is with great enthusiasm that The University of Alabama at Birmingham (UAB) is conducting a national search for an innovative and accomplished research leader to be the next Vice President of Research (VPR). UAB (Appendix 1) – an internationally renowned public research university and academic medical center – is known for its collaborative and interdisciplinary approach to education and research at both the graduate and undergraduate levels. UAB has rapidly become one of the Alabama’s largest public universities with a College of Arts and Sciences, Honors College, nine schools (Business, Dentistry, Education, Engineering, Health Professions, Medicine, Nursing, Optometry, and Public Health), a large graduate school, and a world-renowned medical center. UAB takes pride in the discovery of knowledge that will change our world.

UAB’s research enterprise is rapidly expanding – the selected candidate will be charged with broadening UAB’s research portfolio across the campus and to drive strategic planning and research operations. The next VPR will leverage fresh approaches to help faculty and students across all schools to successfully compete for large federal, corporate and foundation grants. The successful candidate will work closely with the Dean of the Graduate School to integrate the research and educational missions of UAB. They will work with University and school administration to establish new programs and research directions to promote and enhance the University's contribution to new knowledge and the national standing of UAB. In partnership, the Provost, the Senior Vice President for Medicine, the Vice President for Financial Affairs and Administration and the Vice President for Research will advise the President on matters of University research policy, vision, strategic planning and long-range budgeting.

The successful candidate shall contribute to major decisions affecting the University and will provide counsel to the President and other Executive Officers on matters related to the research enterprise. The newly appointed VPR will have a distinguished record of research accomplishments and in-depth understanding of how to build research relationships in federal, industrial, and institutional environments. This new strategic opportunity has arisen as a result of the retirement of Dr. Richard B. Marchase, who successfully expanded UAB’s business development and research enterprise.

In 2015, UAB received more than $400 million in research grants and contracts – with a total award of $243 million in NIH funding – and ranked 10th among all public universities. From 2014 to 2015, UAB’s research and development expenditures increased from $430 million to $510 million, respectively. In 2013, UAB installed a five-year Campaign and set a goal of $1 billion for a range of priorities, including student and faculty support, facility enhancements and research investment. Since the campaign installment, $700 million has been committed by nearly 90,000 alumni, corporate and foundation donors, grateful patients and community partners.
UAB continues to partner with Birmingham to grow a robust technology-based economy in the region. The longtime collaboration with Southern Research Institute is more fruitful than ever, as the Alabama Drug Discovery Alliance (ADDA) has roughly 16 new treatments in pipeline. The Innovation Depot is a business incubator home to 100 companies, with a $1.25 billion impact over the past years. The new Innovation Lab is a collaboration between Innovation Depot and the UAB Collat School of Business that is dedicated to training and supporting student entrepreneurs. The UAB Harbert Institute for Innovation and Entrepreneurship, meanwhile, identifies and commercializes the university’s most promising research discoveries and creates successful start-up companies. UAB continues to partner with city and county government, as well as the Birmingham Business Alliance (BBA) and other key groups to form an “Innovation District” for the region. The VPR will continue to grow the size and scope of community engagement through emphasis on translational research.

UAB seeks candidates whose work experience or community service has prepared them to contribute to its commitment to diversity and excellence.
KEY RESPONSIBILITIES OF THE VICE PRESIDENT

The proven Vice President for Research will lead and develop new programs and research directions to enhance the University’s contribution to new knowledge and the national standing of UAB. They will serve as a member of the President’s Cabinet for all major decisions affecting the University, and will provide counsel to the President and other executive officers on matters related to the research enterprise. The VPR reports to the President and will support the University strategic plan, through collaboration with Deans on the recruitment and retention of high-potential faculty in support of multi-disciplinary hiring strategies and nurture excellent research, scholarship and creative activity by faculty, staff and students.

DUTIES AND ESSENTIAL OBJECTIVES

Leadership
- Understands the organizational landscape and is able to anticipate and articulate the critical issues, opportunities, and threats confronting the institution in the foreseeable future.
- Visionary leadership and the capacity to work well with departments, college deans, business leaders and government agencies at all levels.
- Exhibits an appreciation for the need for, collaboration, planning, communication, and benchmarking of results in his/her approach to problem solving and program building.
- Grow the size and scope of community engagement through emphasis on translational research.
- Supports and promotes implementation and use of the Institutional Research Administration Portal (IRAP), which serves as UAB's research administration software platform
- Provides effective leadership to all administrative research units serving the research enterprise at UAB; oversight includes:
  - Office of Sponsored Programs
  - Pre-Award Services
  - University Compliance Office
  - Animal Resources
  - Institutional Review Board
  - Institutional Biosafety, Export Control Program, Responsible Conduct of Research, and other compliance areas
  - Working in collaboration with faculty, staff and students to develop appropriate policies and procedures for the management of University Wide Interdisciplinary Research Centers (UWIRCs), cores and institutes within the university.

Management
- Serves as Institutional Official for the IRB, IACUC, and other units as required.
- Works closely with University Compliance Office, Accounting, and other central administration units provide effective and compliant awards management.
- Has participated in the management of an educational program and/or an academic division/department and demonstrates an understanding of the issues involved.
- Previous administrative success, such as management of an academic unit.
- Understands and passionately advocates for compliance with institutional and external regulations.
- A successful record of managing personnel and research budgets on a significant scale.
- Ability to delegate effectively while maintaining focus on academic matters and overall goals of the institution.
- The ability to foster diversity and promote a collegial and constructive environment based on open communication, positive team building and effective management.
Mission Performance

- Demonstrates enthusiastic advocacy for the UAB’s multiple missions and its commitments to gender equity and diversity.
- Aligns with UAB’s Overarching Mission Pillars
- Provide education that prepares diverse students to lead, teach, provide professional services and become the prominent scholars and societal leaders of the future.
- Pursue research, scholarship and creative activities that spur innovation, make UAB a vibrant cultural center and expand UAB’s capability to continually discover and share new knowledge that benefits society.
- 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.
- Encourage partnerships that improve education, the arts and humanities, health, economic prosperity and quality of life through service at home and around the globe.
- Foster and stimulate innovation and entrepreneurship that contributes to the economic development and prosperity of the city of Birmingham, the state of Alabama and beyond.

Personal and Interpersonal

- Exhibits self-awareness, humility, and empathy in his/her interactions with others.
- A distinguished record of research accomplishments and personal history of funded research.
- An understanding of and appreciation for the diverse research across units.
- Exhibits optimism and a high energy level with an orientation toward innovation and action.
- Exhibits the values and behavior of a good citizen in his/her actions within the organization and at large.
- Encourages trust, transparency, and optimism and communicates naturally and effectively.
- Demonstrates cultural awareness and a commitment to diversity and inclusion.

Relevant Experience

- Possess varied experience in and/or understanding of building research relationships in the federal, industrial, and institutional environments, growing and diversifying research enterprise with impact, supervision, planning, and fiscal issues, fostering and promoting women and historically underrepresented groups to further advance careers in academia, fostering applied and translational research (e.g., technology transfer), and promoting and implementing policies and procedures to ensure compliance with Federal and State regulations governing research.
- Knowledge of and/or experience with intellectual property management, technology transfer issues and economic development opportunities.
- Experience in administration of research grants and contracts.
- Familiarity with direct and indirect costs associated with sponsored research in a university setting.
- Significant interaction with state, federal and private funding agencies.
- The ability to articulate a vision to create and deploy collaborative research initiatives.
- A thorough understanding of the bi-directional relationship between technology and research – i.e., how technology can be used across the research spectrum and application of technology across various disciplines.
- An understanding and experience with the applications and usage of emerging technologies that are going to have major impact on research universities.
EDUCATION

• The VPR will hold a PhD, MD or equivalent degree and experience that warrants an appointment as a full professor.

COMPENSATION

Compensation arrangements are competitive and commensurate with both experience and achievement.

The University of Alabama at Birmingham is an Equal Opportunity/Affirmative Action Employer. All qualified applicants will receive consideration for employment without regard to race, color, religion, sex, sexual orientation, gender identity, national origin, age, protected veteran or disabled status, or genetic information. UAB seeks candidates whose skills, and personal and professional experience, have prepared them to contribute to our commitment to diversity and excellence, and the communities we serve.

NOMINATIONS AND APPLICATIONS

The Search Committee invites nominations, applications or expressions of interest. Confidential review of materials will begin immediately and continue until the position is filled. For priority consideration, please apply by August 31, 2016. Applications should include a letter of interest, a comprehensive curriculum vita, and the names and contact information of five or more references. To ensure full consideration, applications should be submitted electronically in confidence, to:

uab-vpr@kornferry.com

KORN FERRY CONTACTS

<table>
<thead>
<tr>
<th>Paul Chou</th>
<th>Bernard Godley, MD, PhD, MBA</th>
</tr>
</thead>
<tbody>
<tr>
<td>Senior Client Partner</td>
<td>Senior Client Partner</td>
</tr>
<tr>
<td>1650 Arch Street, Suite 2300</td>
<td>700 Louisiana, Suite 3900</td>
</tr>
<tr>
<td>Philadelphia, PA 19103</td>
<td>Houston, TX 77002</td>
</tr>
<tr>
<td>Direct: 215-656-5315</td>
<td>Direct: 713-374-1364</td>
</tr>
<tr>
<td>Cell: 610-457-1066</td>
<td>Cell: 409-392-6601</td>
</tr>
<tr>
<td><a href="mailto:paul.chou@kornferry.com">paul.chou@kornferry.com</a></td>
<td><a href="mailto:bernard.godley@kornferry.com">bernard.godley@kornferry.com</a></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Tonika Lam, PhD</th>
<th>Leticia Gutierrez</th>
</tr>
</thead>
<tbody>
<tr>
<td>Senior Associate</td>
<td>Project Coordinator</td>
</tr>
<tr>
<td>1650 Arch Street, Suite 2300</td>
<td>700 Louisiana, Suite 3900</td>
</tr>
<tr>
<td>Philadelphia, PA 19103</td>
<td>Houston, TX 77002</td>
</tr>
<tr>
<td>Direct: 215-656-5315</td>
<td>Direct: 713-374-1379</td>
</tr>
<tr>
<td><a href="mailto:tonika.lam@kornferry.com">tonika.lam@kornferry.com</a></td>
<td><a href="mailto:leticia.gutierrez@kornferry.com">leticia.gutierrez@kornferry.com</a></td>
</tr>
</tbody>
</table>

The material presented in this position specification should be relied on for informational purposes only. This material has been copied, compiled or quoted in part from The University of Alabama at Birmingham documents and personal interviews and is believed to be reliable. While every effort has been made to ensure accuracy of this information, the original source documents and factual situations govern.
Appendix 1

The University of Alabama at Birmingham

The University of Alabama at Birmingham (founded circa 1969) pursues the frontiers of education, research and health care and strives to be one of the most dynamic and productive universities of the 21st century. UAB has transform Birmingham into a nexus of medicine, business, research and development with a thriving arts and cultural scene, and our campus channels all the energies and opportunities of its metropolitan home. UAB is the largest single employer in Alabama and our economic impact exceeds $5 billion annually. Due to its growing and increasingly residential campus in the heart of a vibrant and diverse community, UAB offers unparalleled opportunities for teaching, research, scholarship, and service.

Our story is one of remarkable growth in size, quality, reputation and impact. From modest beginnings as an extension center of the University of Alabama, UAB — which became an autonomous campus in 1969 — now offers 137 degree programs in the College of Arts & Sciences and the schools of Business, Dentistry, Education, Engineering, Health Professions, Medicine, Nursing, Optometry and Public Health. Every year since 2006, UAB has been named to the President's Higher Education Community Service Honor Roll, the highest federal recognition a university can achieve for civic engagement and service learning. To date, UBA continues to attract talented students from Alabama, the nation and more than 100 countries around the world.

UAB is home to the 3rd largest public hospital in the U.S., treating more than a million patients annually, and the only NCI-designated Comprehensive Cancer Center in Alabama and a five-state region. The UAB Comprehensive Transplant Institute’s ongoing live-donor kidney transplant chain is the longest ever conducted anywhere in the world. The School of Dentistry has for the fourth straight year ranked first among all dental schools nationally in NIH funding, with more than $13 million in 2015. UAB continues to partner with Birmingham to grow a robust technology-based economy for our region.

UAB’s vision is to be an internationally renowned research university — a first choice for education and health care.

UAB’s mission is to be a research university and academic health center that discovers, teaches and applies knowledge for the intellectual, cultural, social and economic benefit of Birmingham, the state and beyond.

In the past year, UAB has produced groundbreaking discoveries and innovations, delivering a promise of “knowledge that will change your world.” UAB’s overarching mission pillars embody our commitment to educate, advance research and discovery, care for the sick, respond to the needs of our community and use knowledge to establish Alabama as a progressive economic center that can change the world. UAB is investing in mission-critical infrastructure and institutionwide initiatives that undergird the support of our faculty, staff, students, alumni, and community. Every school and department is identifying top priorities and actively collaborating to achieve them. The University is aligning their greatest strengths for the benefit of UAB, Birmingham, Alabama, and beyond.
Notable accomplishments and rankings:

- Enrollment is over 18,300; fall 2015 freshmen boasted an average ACT of 25, the highest ever at UAB and in the top 21 percent nationally.
- The Honors College enrolled its largest-ever class (1,260) and recently produced UAB's third Rhodes Scholar—more than any other Alabama university since the year 2000.
- Undergraduates are 37 percent minority and 58 percent female on a campus consistently ranked among the most diverse nationally in The Princeton Review.
- U.S. News & World Report “Best Graduate Schools” ranks nine UAB programs in the top 20 nationally, including a master's in health administration that ranks 2nd.
- Among only 51 universities nationally—and the only Alabama university – to be classified by the Carnegie Foundation for both “Very High Research Activity” and “Community Engagement.”
- Since, 2006, named seven consecutive years to the President's Higher Education Community Service Honor Roll, the highest federal recognition a university can achieve for civic engagement and service-learning.
- Ranked 22nd nationally in funding from NIH (10th among public universities) with several schools highly ranked among national peers – Dentistry is 1st nationally.
- The Center for World University Rankings puts UAB 147th globally, among only eight universities in the Southeast – and only one in Alabama – to make the world’s top 150.
- Ongoing live-donor kidney chain is the longest ever conducted at any site in the world

Birmingham, Alabama

Birmingham is a treasure of unexpected cool. This hilly, shady town, founded as an iron mine, is still a center for manufacturing – Mercedes Benz USA is based out of nearby Tuscaloosa. In addition, universities and colleges pepper the town, and all of this comes together to create a city with an unreservedly excellent dining scene. From its founding through the end of the 1960s, Birmingham was a primary industrial center of the South. The pace of Birmingham's growth during the period from 1881 through 1920 earned its nicknames The Magic City and The Pittsburgh of the South. Birmingham's major industries were iron and steel production, plus a major component of the railroading industry, where rails and railroad cars were both manufactured in Birmingham.

Today, Birmingham is the largest city in the US state of Alabama and is the county seat of Jefferson County. Birmingham’s economy was transformed by investments in bio-technology and medical research at the University of Alabama at Birmingham (UAB). Health care services providers HealthSouth, Surgical Care Affiliates and Diagnostic Health Corporation are headquartered in the city, and Caremark Rx was founded in the city.

Birmingham is the cultural and entertainment capital of Alabama with numerous art galleries in the area including the Birmingham Museum of Art, the largest art museum in the Southeast. Downtown Birmingham is currently experiencing a cultural and economic rejuvenation, with several new independent shops and restaurants opening in the area. Birmingham is also home to the state’s major ballet, opera, and symphony orchestra companies such the Alabama Ballet and Alabama Symphony Orchestra. The Birmingham-Jefferson Convention Complex (BJCC), houses a theater, concert hall, exhibition halls, and a sports and concert arena. The BJCC is home to the Birmingham Children's Theatre, one of the oldest and largest children's theatres in the country, and hosts major concert tours and sporting events.