We strengthen ethical leadership to enhance civil society.
Message From Our Founders

We are pleased to share our 2011 accomplishments with you. At Rutgers Institute for Ethical Leadership, we believe leaders need the critical thinking and decision-making skills to create organizations in which ethical practice and behavior are second nature. The Institute provides research, education, and practical training to businesses and governments, nonprofit and philanthropic organizations, and the Rutgers University community. The Institute guides and supports leaders, empowering them to improve the ethical culture at all levels of their organizations. Our mission goes beyond helping organizations avoid ethical breaches and sustain their reputations to helping them achieve their goals in a way that ultimately enhances civil society.

Rutgers Business School (RBS) was ranked 34th overall in the Aspen Institute’s Beyond Grey Pinstripes 2011–2012 Top 100 MBA Programs. In the category of faculty research, RBS ranked 12th among business schools globally. Beyond Grey Pinstripes is an independent biennial survey that ranks business schools in terms of how they prepare students to be ethical and environmental stewards in the workplace. The ranking spotlights innovative full-time MBA programs that most successfully integrate social, ethical, economic, and environmental realities into mainstream business education and research. The 2011–2012 RBS submission for the survey was spearheaded by the Institute’s research director and professor of leadership and ethics, Ann K. Buchholtz, Ph.D.

Today the challenges of ethical leadership in business are becoming increasingly difficult. To help leaders and organizations meet these challenges, the Institute launched its customized ethical leadership training programs. These executive education programs are highly tailored with applicable case studies related to the participants’ industry. The customized training programs help business leaders develop the strategies to promote responsible business practices and ethical leadership in a complex world.

This past year, the Institute launched the Nonprofit Executive Leadership Fellows Program, sponsored by The Prudential Foundation. This program provides comprehensive, long-term training to leaders and future leaders of 12 New Jersey nonprofit organizations.

Internal succession planning continued. In 2011, we welcomed two new team members and promoted three staff members.

We want to thank our advisory board members for their ongoing guidance and support. Institute advisory board members are CEOs and senior executives representing a cross-section of prominent corporations, nonprofit organizations, and foundations. Their expertise provides valued input into our strategic plan and its implementation. We also thank our funders for their partnership and support that allow us to provide education, programs, and research to leaders and emerging leaders in all sectors of our society.

Sincerely yours,

James Abruzzo Alex J. Plinio
Co-founder Co-founder

2012 Goals

Continue to develop and expand programming and education to businesses

Assemble a group of executives, practitioners from all sectors who work voluntarily with the Institute to coach, share information, and advance awareness of ethical leadership

Identify areas of opportunity to support and strengthen ethics-related research at Rutgers Business School

Work closely with Rutgers University’s executive leadership to further inculcate ethical leadership within the University

Expand ethics within nonprofit programming and education curricula

James Abruzzo Alex J. Plinio
Co-founder Co-founder
Second Annual Ethical Leadership Conference
Sponsored by Merck & Co. Inc., the “Second Annual Ethical Leadership Conference: Authentic Leadership in the Age of Social Media” was a success. Participants discussed authentic ethical leadership and described social media—what it is and how leaders and organizations use it ethically and effectively. Richard McCormick, president of Rutgers University, opened the conference. The featured speakers were Kenneth C. Frazier, CEO and president of Merck & Co.; Frank Clyburn, senior vice president of the Global Pharmaceutical Franchises, Merck; Bill George, former chairman and CEO of Medtronic, Harvard Business School professor, and author of four bestselling books (7 Lessons for Leading in Crisis, True North, Finding Your True North, and Authentic Leadership); social media expert Larry Weintraub, CEO and co-founder of Fanscape, a social media marketing agency; and Richard S. Bowles, Ph.D., executive vice president and chief compliance officer, Merck. One hundred and seventy five people attended the event from business, nonprofit, and government sectors. All speakers received rave reviews—96 percent of participants rated the overall conference as “Good” or “Excellent” and 88 percent said they would recommend the session to others.

2011 Fall Speaker Series—The Tyco Story: Past, Present, and Future
In the aftermath of the 2002 Tyco International scandal involving the excesses of its former chairman and CEO and other senior managers, Tyco International’s new CEO, Ed Breen, assembled a new senior management team to lead the company’s efforts to build an ethical organizational culture. The Institute welcomed three key Tyco International executives to its speaker series titled “The Tyco Story: Past, Present, and Future—How to Recover From Unethical Management Behavior.” During the event, the executives discussed their experiences working closely with senior management to build and promote a culture of ethics and integrity across a highly diversified, global company. Tyco executives took participants through approaches to address and promote a culture of ethics and integrity in a complex and ever-changing world. They shared the Tyco story, the company’s difficult past, the much enhanced present, and plans for the future. The program was a great success—100 percent of participants rated the overall program as “Good” or “Excellent” and 85 percent indicated that their involvement in this program would improve their leadership or management styles.

Nonprofit Capacity Building Conference
In collaboration with Partnership in Philanthropy, Pro Bono Partnership, Support Center for Nonprofit Management, Center for Non-Profits, and Nonprofit Finance Fund, the Institute convened approximately 120 nonprofit CEOs and board members in an all-day Capacity Building Conference. This annual conference is sponsored and supported by The Prudential Foundation and Victoria Foundation. The 2011 Conference theme was “Economics and Values-Based Sustainability.” The event focused on how to strengthen organizational core capacities and develop synergy between the CEO and the board. As a team, CEOs and board members worked on identifying organizational weaknesses, developing strategies for strengthening the board, and building a solid CEO-board partnership to meet current and future challenges that affect their organization’s ability to advance its mission.

Institute 2011 Programs
Combining research with practice, the Institute’s 2011 programs provided valuable learning opportunities to improve leadership effectiveness through the lens of ethical behavior and decision-making.

<table>
<thead>
<tr>
<th>2011 Program Attendees</th>
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<tbody>
<tr>
<td>TOTAL: 3,266</td>
</tr>
<tr>
<td>Students: 1,854</td>
</tr>
<tr>
<td>Business: 1,042</td>
</tr>
<tr>
<td>Nonprofit: 350</td>
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<tr>
<td>Government: 20</td>
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In 2010 the Institute reached a total of 2,013 participants. In 2011, overall Institute program attendance increased 62 percent over 2010.
Nonprofit Executive Leadership Fellows Program
The Institute kicked off its inaugural Nonprofit Executive Leadership Fellows Program, sponsored by The Prudential Foundation. This is a curriculum-based training and leadership development program. Over a two-year period, a cohort of 12 nonprofit senior executives meets once a month from September through June to take part in this groundbreaking, comprehensive approach to developing personal and professional leadership skills and competencies. Each unique monthly session includes formal instruction provided by practitioners and field experts, as well as peer-to-peer sessions led by the group facilitator. In addition to the group work, each participant receives one-on-one coaching and emotional intelligence assessment and coaching. Support and training provide the foundation for the fellows’ progress against explicit personal and organizational goals, a core focus of the program. Fellows also receive guidance to help mentor a mid-level staff member within their organization. At the end of the program, the fellows will become part of an alumni network that meets several times annually for continuing education sessions.

Leaders Common Ground Program
This proven program brings together nonprofit senior executives for monthly peer group sessions to mutually explore challenges they face as leaders of nonprofit organizations. During three-hour group sessions, leaders discuss real-life issues of governance, board and staff relations, ethical leadership, strategic planning, fundraising, financial management, program development and management, and other topics of common concern. A facilitator guides the session, helps structure the conversation, and creates a supportive environment where participants can discuss mutual challenges in strict confidence. By sharing their challenges with peers, participants feel less isolated, provide and gain relatable support and advice, and strengthen their leadership capacity. The facilitator also provides participants with individual coaching sessions to further explore their leadership challenges and work through actionable steps to address these matters. Leaders Common Ground aims to improve and strengthen the leadership of nonprofit organizations; facilitate change in organizations for increased vitality and fulfillment of their missions; make the impact of foundation, corporate, and individual grants more powerful; and build a civil society.

Nonprofit Executive and Emerging Leader Certificate Program
In the fall, the Institute hosted its seventh Nonprofit Executive and Emerging Leaders Certificate Program. The 2011 three-day leadership program provided training and education to 39 nonprofit executives and mid-level managers interested in building skills and developing talents through a rigorous and engaging curriculum focused on personal and professional leadership. This year’s program featured the following guest speakers: André Gremillet, president and CEO, New Jersey Symphony Orchestra; Mark Light, Ph.D., president and founder, First Light Group LLC; and Warren Tranquada, vice president and CFO, New Jersey Performing Arts Center, along with other prominent experts in the field. The program covered such topics as ethics and values, best practices in board relations, financial management, fundraising, leveraging data collection, storytelling, and partnerships and collaborations. Participants attend a follow-up day six months later to reinforce learning.

“Information was EXTREMELY useful! The presenters did an excellent job of engaging the group and addressing individual questions and concerns. I learned many things I did not know that I can now bring back to my organization.”

– 2011 Certificate Program Participant
Executive Education

The Institute launched its customized ethical leadership training programs for all sectors: business, nonprofit, and government. To meet an organization’s goals, the Institute will conduct a brief needs assessment and design a customized Ethical Leadership Training Program. These executive education programs are highly tailored with applicable case studies related to the organization or group’s industry. Institute staff members work closely with managers and executives to focus on real organizational challenges. The trainings may consist of the following topics or may be tailored to the specific organization:

- Importance of ethical leadership to you and your organization
- What influences your decision to report an ethical dilemma?
- Review of the Institute’s decision-making model
- How to apply the decision-making model to case studies
- Giving Voice to Values, an innovative curriculum developed by Mary C. Gentile, Ph.D., for developing the skills, knowledge, and commitment required to implement values-based leadership
- Discussion of ethical dilemmas and how to take action

“Overall the program was very informative, practical, and engaging. It was certainly a great use of time. I’m so glad that our management supported this event.”

– 2011 Executive Education Program Participant

“The trainers were very engaging and used real-life examples. Exercises with the team were invaluable.”

– 2011 Executive Education Program Participant

Alex J. Plinio, Institute for Ethical Leadership co-founder, presents to a group of executives.
Both at the graduate and undergraduate levels, students learn to link their personal values to their actions so they can recognize and address ethical dilemmas at school and in the workplace.

**Rutgers Business School Business Forum**
The “Business Forum” course provides undergraduate business school students with the opportunity to learn business communication skills from experts in various business fields. The course also focuses on current events and career development skills. The Institute taught two of the 14 sessions, focusing on ethical leadership, moral courage, emotional intelligence, Giving Voice to Values, and addressing ethical dilemmas. The students are provided with a decision-making tool and a critical-thinking model. These students also completed the ethical dilemma survey, and case studies were used to enhance awareness and application of the decision-making model.

**Ethical Leadership Course**
For the second year, the Institute presented a full 14-week, three-credit course on ethical leadership for the RBS undergraduate Honors College in New Brunswick. The “Ethical Leadership” course has three components. Component one focuses on defining ethical leadership (theory and practice), values, and culture. Component two gives students the opportunity to explore who they are and their values using various assessment tools. As students learn about theory and themselves, students apply what they’ve learned to practical, real-life ethical leadership challenges, case studies, and ethical dilemmas. Students apply Babson’s Giving Voice to Values curriculum, which allows them to explore how they can speak up for their values.

**Personal and Leadership Development MBA Course**
The Institute offered this RBS MBA course elective for the seventh year. The course serves as a primer on leadership in the for-profit and nonprofit sectors, examining how leaders in any sector affect civil society. The course is designed to help students develop the skills needed to serve as successful executives. The curriculum uses timely and real-world case studies and includes presentations by nonprofit, government, and corporate executives. Session topics include ethics, leadership development, state of the nonprofit sector, the role of the board and executive management, relevance and sustainability, emotional intelligence, life and career planning®, and other pertinent topics.

**Venture Capital Analysis**
RBS finance and economics professor Ben Sopranzetti, an internationally renowned expert in the area of valuation, financial strategy, and investor psychology, invited the Institute to present on ethical leadership and how to assess an organization’s governance before you invest. The course was attended by 45 senior undergraduate finance majors.

**MBA Professional Accounting Orientation**
RBS accounting professor Alexander Sannella invited the Institute to speak at the orientation session for 70 incoming professional accounting MBA students. The Institute presented on personal, family, and organizational values; organizational culture and ethical leadership; and how to handle ethical dilemmas.

“The Institute presented things about leadership that I hadn’t thought about before. I feel I am better prepared to be a leader.”

– 2011 MBA Student Participant
Collaborative Partnerships

To leverage our ability to develop and offer high-quality programs, the Institute collaborates at Rutgers University and with businesses, organizations, and other institutes.

**Net Impact**

The Institute partners with the RBS chapter of Net Impact, a recently launched MBA graduate student club. Net Impact is an international nonprofit organization with a mission to inspire, educate, and equip students to use the power of business to create a more socially and environmentally sustainable world. Together, the Institute and Net Impact collaborate to present speaker events and assist in coordinating corporate site visits for student members.

**The Future of Arts Leadership Roundtable**

In March, the Institute hosted a roundtable discussion focused on the “Future of Arts Leadership in New Jersey: Challenges and Solutions.” This event brought together 12 influential leaders in the arts to have an in-depth discussion on the future of arts leadership in the area, identify issues beyond funding, and engage in conversation to address long-term solutions. The event was in conjunction with the annual visit from a group of graduate students in arts management at the Freie Universität in Berlin, Germany. The dialogue focused on how to engage younger consumers and patrons of art. Diverse and interesting perspectives were provided by the arts leaders as well as with visiting Berlin arts management students.

**Institute of Museum Ethics at Seton Hall University**

The Institute of Museum Ethics at Seton Hall University in partnership with the Institute for Ethical Leadership convened the first in a series of public conversations about current ethical challenges in the museum field. The program examined the controversy surrounding the recent National Portrait Gallery exhibition, “Hide/Seek: Difference and Desire in American Portraiture.” The program highlighted the ethical issues involved, examined the role of the media (print and Internet) in this controversy, and explored other instances where museums’ ethical practices have been interrogated. The group also discussed issues related to artists’ rights.

**Rutgers-Merck Bioethics Summer Institute**

In July, the Institute, in partnership with the Philosophy Department at Rutgers University–Newark, and the Rutgers–Newark Office of University-Community Partnerships, hosted the Rutgers-Merck Summer Bioethics Institute. The program introduced 30 high school students to ethical theories and the application of these theories to some of the most important issues in bioethics confronting contemporary society. The focus of this year’s program was on ethical issues that arise in robotics—an interdisciplinary area that combines computer science, engineering, biology, philosophy, linguistics, and the neurosciences. The Merck Company Foundation sponsors this program.

2011 Rutgers-Merck Summer Bioethics Institute participants work on group projects.
The Institute hired an independent evaluation firm, The Improve Group, to conduct an indepth evaluation of nonprofit programs. The goal of the comprehensive evaluation was to learn about the impact of programs on nonprofit leaders and the organizations they serve; identify leadership needs and the unique position of the Institute for meeting those needs; and gain additional feedback to incorporate into the Institute’s ongoing reflection as well as tools and methods that can be used for evaluation of future work.

Key findings:

• Institute programs help participants build skills to operate in a complex world, more effectively navigate personal relationships, improve self-awareness and confidence, practice values-based behaviors, and develop skills for managing nonprofit organizations.

• In addition to making an impact on individual participants, Institute programs have a significant effect on organizations as a whole. Participants said their organizations became more focused on their mission, gained greater capacity and effectiveness, and learned to work more effectively with their boards.

• The Institute provides an opportunity for nonprofit participants to learn from their peers, get help and feedback on real issues, gain perspective from working with others, and obtain practical advice and personal support.

Institute Speaking Engagements

Building Integrity
Organizations are not immune from unethical behavior and challenges. Today, we see leaders of corporations, nonprofit organizations, and government entities all struggling with complex, ethics-based decisions. The Institute’s co-founders, James Abruzzo and Alex J. Plinio, as well as research director, Ann K. Buchholtz, Ph.D., and executive director, Judy Young, give presentations as a part of various conferences, courses, and seminars on a range of topics related to ethical leadership, current leadership and management best practices.

In 2011, the Institute presented at the following engagements:

- 20th anniversary celebration of the Institute for Arts and Media Management of Freie Universität, Berlin, Germany
- Academy of Management (AOM) annual meeting in San Antonio, Texas
- Bentley Global Business Ethics Symposium in Marseille, France
- Corporate Governance Institute of San Diego State University
- Greater Monmouth Chamber of Commerce Team Challenge 2011
- International Association of Business & Society Conference in Bath, England
- Johnson & Johnson, Global Information Technology Services
- Johnson & Johnson, Insights From Women in Leadership Program
- Monmouth Ocean Development Council (MODC)
- New Jersey chapter of the Association of Fundraising Professionals (AFP-NJ)
- Next Generation ESG Workshop in Marseille, France
- N.Y. chapter of the Investment Management Consultants Association
- Prudential Financial
- Rutgers Business School’s Fourth Annual Fraud Conference
- Sobel & Co.’s Nonprofit Sector Symposium
- Southern Adventist University, Chattanooga, Tennessee
- Second Annual Northeast Conference on Public Administration (NECoPA)
- Wall High School Business & Finance Academy
- Zicklin School of Business (Baruch) Delta Forum Speaker Series

“I think it has had a positive impact on [my leadership competency and capabilities]. I have been able to gain from the insights of my peers who have provided a ‘fresh’ perspective on the issues I have presented. This has allowed me to broaden my own views and insights.”

— Institute Program Participant
The Institute received the 2011 Collaborative Award, which recognizes the Institute’s efforts to create collaborative partnerships in the community and support core capacities for long-term nonprofit organizational sustainability and growth. TeamCONNECT, a group of nonprofit emerging leaders from the Greater Newark Ladder to Leadership program (a joint program hosted by Robert Wood Johnson Foundation, Center for Creative Leadership and Victoria Foundation), hosted the inaugural 2011 “Collaboration Expo: Beyond the Support Letter” event, where the award was presented.

The Institute is the proud recipient of the Academic Program Unit Award in the 2011 Rutgers–Newark Chancellor’s Community Engagement Awards. The annual Chancellor’s Community Engagement Awards recognize the contributions of individuals or groups to Rutgers–Newark’s urban mission and engagement with the city of Newark and the region. The Academic Program Unit Award is given to any academic department, program, center, institute, or office for exemplary teaching, research, or service activities that engage with the external community.

Research

The Aspen Institute’s Beyond Grey Pinstripes Business & Society Program released its 2011–2012 Top 100 MBA Programs. Participating for the first time, Rutgers Business School was ranked 34th overall in the world and 12th for faculty research. Please refer to the “Message from our Founders” section for more details on the ranking.

The Institute obtained the KLD Social Ratings Data for the WRDS platform at RBS, which can be accessed by faculty and doctoral students. The KLD data provide researchers with statistical social, environmental, and governance indicators for more than 3,000 publicly traded companies.

The Institute sponsored two summer research grants through the RBS Dean’s Fellowship program. Two RBS Ph.D. students, Joseph Gaspar and Akiko Shigemoto, received these grants and worked closely with two Department of Management and Global Business faculty members, Professor Chao Chen and Professor Michael Santoro, respectively. Joseph Gaspar and Professor Chen are working on a study titled, “Relational Neutrality and Conflict of Interest: An Ethical Perspective.” Akiko Shigemoto and Professor Santoro’s study is titled, “Corporate Social Responsibility in China.”
## Membership

In 2011, the Institute updated its individual and business membership programs. The most effective way for individuals and businesses to ensure the highest ethical standards within their organization is for leaders to lead by example. The Institute’s membership programs are for individuals and organizations that share a commitment to making ethical behavior and personal integrity an important part of their lives.

### Individual Membership Program

Annual participation levels are $25, $50, $100, $250, $500, and $1,000 with benefits including discounts on Institute programs, invitations to VIP events, and more.

### Business Membership Program

Annual membership levels are $1,000, $2,500, $5,000, $10,000, $15,000, $25,000, and $50,000 with benefits including recognition in Institute literature, free invitations to Institute programs, sponsorships, a customized ethical leadership training session, and more.

More information on membership can be found at [business.rutgers.edu/iel/support/membership](http://business.rutgers.edu/iel/support/membership).

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### Christine Bonney
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- President, Synergy for Children

### Institute Member

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Steven J. Diner Ethical Leadership Award
The Institute hosted an evening reception to celebrate RBS’s Aspen Global Ranking and to honor a dear friend and champion of the Institute, Rutgers–Newark former Chancellor Steven J. Diner, as the first recipient of the Annual Steven J. Diner Ethical Leadership Award. Diner is the first honoree of this award, which will be given annually to an individual who demonstrates a long-term commitment to strengthening civil society through ethical leadership. The Institute was fortunate to have his support as a leader and partner. As future leaders are recognized and receive this award, Diner’s legacy will live on. In addition to recognition of former Chancellor Diner, the annual awardee names a nonprofit organization in Newark that receives a monetary prize. Diner chose Leadership Newark as the 2011 nonprofit recipient.

Steven J. Diner, former Chancellor of Rutgers-Newark, presents the monetary prize to Celia King, Executive Director, Leadership Newark, Inc.

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United Airlines

Financials

2011 Revenue

25%
66%
7%
2%

- Corporations and Corporate Foundations
- Private and Family Foundations
- Individuals and Program Fees
- Rutgers In-Kind

2011 Expenses

75%
20%
5%

- Programs
- General and Administrative
- Rutgers In-Kind
About Rutgers Business School

Rutgers Business School-Newark and New Brunswick is an integral part of one of the nation’s oldest, largest, and most distinguished institutions of higher learning: Rutgers, The State University of New Jersey – founded in 1766. Rutgers Business School has been accredited since 1941 by AACSB International – the Association to Advance Collegiate Schools of Business – a distinction that represents the hallmark of excellence in management education. Today, Rutgers Business School is educating more than 5,000 undergraduate and graduate students at two main campuses in New Jersey as well as six satellite locations in New Jersey, China, and Singapore. Steeped in academic excellence, with a distinguished faculty and a corps of over 33,000 successful alumni, Rutgers Business School is highly ranked by the Financial Times, U.S. News & World Report, BusinessWeek, and The Wall Street Journal. According to U.S. News & World Report, the MBA program is the #1 public MBA program in the Northeast, and is ranked #31 nationwide for the employment rate of its graduates three months after graduation. Traditional Full-Time MBA and Flex MBA programs provide excellent options for people looking to gain the relevant skills needed to compete in today's job market.

Rutgers Business School
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Rutgers Business School is ranked 34th over all and 12th for faculty research in the Aspen Institute’s Global 100 of Beyond Grey Pinstripes. This ranking spotlights innovative full-time MBA programs that most successfully integrate social, ethical, economic, and environmental realities into mainstream business education and research.