

**THE
SPENCER
FOUNDATION**

**Annual Report
for the year ended
March 31,
1997**

☞ Lyle M. Spencer liked to describe himself as “a businessman looking in over the rim of education;” and he left notes indicating that he had established the Foundation in the hope that, since most of the Spencer money had been earned in educational publishing, much of that money might be “returned eventually to investigating ways in which education can be improved, around the world. Broadly conceived, wherever learning occurs.”

The Spencer Foundation Annual Report was prepared
by the officers and staff of the Foundation with
Ines M. Milne as Editor and
Patrick M. Sheahan as Managing Editor.
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THE SPENCER FOUNDATION

Annual Report

for the year ended March 31,

1997

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NOTE: The current members of the Foundation's Board of Directors, review committees and staff, as well as updates of the information in this Annual Report, can be found at the Spencer Foundation Web Site, <http://www.spencer.org>. Additionally, this site permits downloading of the Foundation's 25th Anniversary Annual Report (1996) and the current year's Annual Report.

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Dixie Goswami

Diane Waff

¹ deceased February 22, 1997

² term and service as Board Chair
expired January, 1997

³ term and service as Board Vice
Chair expired January, 1997

⁴ through August 31, 1997

⁵ as of September 1, 1997

⁶ Treasurer as of July 1, 1997

Lyle M. Spencer

1911-1968

✪ In 1938, while a graduate student in sociology at the University of Chicago, Lyle M. Spencer founded Science Research Associates, which eventually became one of the country's leading publishers of educational tests, guidance programs, and curriculum materials. Lyle Spencer served as president of SRA from its founding until his death in 1968.

✪ Lyle Spencer established the foundation that bears his name in 1962, with the mandate of investigating ways in which education, broadly conceived, might be improved around the world. The Foundation received its major endowment in 1968 following the founder's death. Since that time, it has authorized grants totaling approximately \$182 million. Its assets as of March 31, 1997, were \$359 million.

THE PRESIDENT'S COMMENTS

Patricia Albjerg Graham

As we begin our twenty-sixth year at the Spencer Foundation, we find that much of our energies currently are focused upon extending our programs to assist junior scholars. In no sense have we diminished our commitment to senior scholars through our Major and Small Research Grants Programs, which continue at record levels of expenditure and with extraordinary assistance and guidance from our Program Advisory Committee. But we have broadened and deepened our support for the preparation of a new generation of scholars because we have become concerned that in the atrophy of other research funds for education, the beginning scholars will suffer before the senior ones. Unless research skills are developed and used at the beginning of a career, they are not likely to emerge in the middle or latter stages of one's professional life. Thus, an emphasis upon support and sustenance of beginning scholars seems particularly important to us since the future of research about education rests on them.

Our attention has concentrated on our initial program for young scholars, the Postdoctoral Fellowship Program administered by the National Academy of Education, which has now completed ten years of activity. In addition, this year we have committed \$11.2 million over five years to the Research Training Grants Program and have added four universities (Berkeley, Michigan State, Pennsylvania, and Teachers College, Columbia) to the group (Harvard, Michigan, Stanford, UCLA, and Wisconsin) we are aiding with fellowships for future researchers in their graduate schools of education. We also select annually several university professors (mentors) who excel at supervising doctoral students working on subjects related to education and permit them

to allocate funds to their doctoral students as discretion and need determine. Demand for evaluations of education programs has increased dramatically over the last decade, but imaginative and accurate modes of inquiry for understanding them have not, and this gap has led us to support a cross-faculty program at Harvard for the preparation of postdoctoral scholars in the research and practice of evaluation. We continue to support doctoral fellowships for students not attending the Research Training Grant institutions (administered by the American Educational Research Association) and fellowships at the Center for Advanced Study in the Behavioral Sciences, particularly summer programs for junior scholars. Finally, we ourselves administer fellowships for doctoral students completing their dissertations. From this program, particularly, we are learning a great deal about the professional lives of beginning scholars. We continue to develop ways in which they can deepen and extend their professional relations with each other both during and after the fellowship. These findings are especially helpful to us in designing and informing our other programs.

The single most important finding from our junior scholar experience is that context makes a difference: some settings seem much more conducive to research than others. Another way of expressing the same well known finding is that a concentration of intellectually engaged and professionally committed scholars provides a fruitful environment for nourishing researchers, particularly at the beginning of their careers. For example, the recent study of the recipients of the National Academy of Education Postdoctoral Fellowships by Beth Gamse and Dylan Conger of Abt Associates, which was commissioned by the Spencer Foundation in 1996, revealed that 54

President's Comments

percent of the Fellows selected by the National Academy of Education Selection Committees received their doctorates from six universities (Harvard, Stanford, Chicago, Berkeley, Michigan, and Wisconsin). Another eight universities (Michigan State, UCLA, Yale, Pittsburgh, Princeton, Pennsylvania, Illinois, Columbia, and Washington) accounted for an additional 18 percent of the Fellows. The graduate institutions of the Dissertation Fellows, selected by an outside committee, reveal a similar pattern. Fifty percent of the 161 Fellows chosen between 1993 and 1997 came from seven institutions (Berkeley, Chicago, Stanford, Harvard, Michigan, North Carolina, and Indiana). Another four universities (Columbia, Wisconsin, UCLA, and Pennsylvania) accounted for an additional 11 percent of the Fellows.

This pattern of concentration of awards at a relatively few universities is also discernible though not as starkly in the major grants program. Six institutions (Harvard, Stanford, Chicago, Berkeley, Michigan, and Wisconsin) have accounted for about 30 percent of our grants over our twenty-six year history. Five others (UCLA, Johns Hopkins, Illinois, Columbia, and Washington) encompass about 13 percent of the grants awarded during this period. The concentration has been somewhat less evident in recent years than in previous ones. The remaining grants go to scholars at an immense variety of institutions, both in the United States and abroad.

A complete listing of all our previous awards can be found in our Annual Report for our twenty-fifth year (1996), which is available both in print and on our web site <http://www.spencer.org>. Our annual reports include a list of all awards made during the year of the report.

The principal conclusion we draw from this analysis is the power of graduate school in

enabling or thwarting one as a researcher. Clearly not all doctoral students want research careers, and for them the ambiance of a potent research institution may not be as important to their education. Just as clearly some individuals who did not attend such institutions subsequently become outstanding researchers.

Graduate school plays a central role both in academic preparation and professional socialization. The experience of full-time study with other full-time graduate students, as well as with faculty, is absolutely critical in creating the research culture and informal set of exchanges through which most scholars develop their sensibilities and skills. A scholarly career is not likely to evolve from assorted courses, miscellaneous term papers, the odd comprehensive examination, and a tortuously conceived and written thesis, all wedged into a life of a full-time or several part-time jobs at a time when family related decisions are also emerging. Rather, scholarly work requires time: time to think, time to read, time to observe, time to reflect, time to write.

At Spencer we worry enormously about the relatively few extremely potent institutional preparers of researchers. We recognize the advantage of a graduate student who is fortunate enough to live in a state with an excellent public university, such as California, Michigan or Wisconsin and able to attend it on a full-time basis. Similarly we regretfully observe the disadvantage of the individual situated in a setting remote from such distinguished scholarly activity. The fellowships administered by the American Educational Research Association are designed specifically to reach persons not enrolled in the most favored institutions.

For an immense variety of reasons, many extraordinarily gifted individuals, both faculty and students, are affiliated with colleges and

*President's
Comments*

universities that are not as conducive to sustained intellectual inquiry or rigorous research as they might be. The difficulty for them of overcoming this institutional hurdle is great indeed. We hope to learn more from the experience especially of the American Educational Research Association with its doctoral fellowship program and of our Program Advisory Committee for our Major Grants Program to aid us as we continue our efforts to address this issue over the next several years.

Too much research preparation, particularly in education, is done on the cheap with the concurrence of institutions, which accommodate large enrollments (and large faculties) without adequate support for either. Students can not or do not commit to full-time study; faculty initially believe that frequent publication and outside grants are more important than profound research. Too often in such situations faculty succumb to promising more research products than can possibly be accomplished well and then either submitting partially completed work or suffering research paralysis in the midst of an overly ambitious research agenda. A measure of intellectual self-confidence is necessary for the active scholar to say "no" to the invitation to write a chapter for a forthcoming book, to give a named lecture, to participate in a national panel. Beginning scholars believe they will never be asked to make such contributions and hence must accept anything that is offered. More mature scholars need to learn new habits of declination, and too many do not find reinforcement for such actions from their universities, which anticipate prestige accruing to them from their over-extended faculty's activities.

Those universities which make a significant effort to fight these prevalent academic tendencies, to prepare graduate students thoroughly, and to support a vigorous intellectual life

among their faculty, create conditions on their campuses in which research can and often does flourish. Undoubtedly this explains the concentration of a relatively small number of research universities in the institutions receiving the bulk of Spencer funds.

Nearly all of the recipients of our postdoctoral fellowships did their graduate work in major research universities but many are now teaching in a much greater variety of settings. Hence, we are particularly eager for the National Academy of Education to provide a variety of seminars and other activities that will nourish these young scholars in their professional careers. Contact with active researchers, both junior and senior, seems a powerful means of professional support for getting an independent research trajectory established. While innate commitment to inquiry is essential for the researcher, some institutional and extra-institutional support and expectation are also helpful. Spencer specializes in the latter.

In short, we at Spencer are seeking ways to be helpful both in supporting individual scholars committed to investigating questions related to education and in developing communities of inquiry which encourage rigorous, imaginative, and resourceful research about educational issues. We believe that scholars at the beginning of their professional careers are particularly vulnerable to assaults on their time and energies that interfere with their evolving research. Hence, we hope that through the cooperation of senior scholars we will be able to foster activities that will be helpful to the young and invigorating to the more established scholars.



Patricia Albjerg Graham
August 25, 1997

REPORT OF THE VICE PRESIDENT

John H. Barcroft

In the fiscal year ending March 31, 1997, the Foundation made payments on grants and fellowships totaling \$14.9 million. These payments included \$6.2 million in the fellowship programs and \$8.7 million in the research and other grant programs. The Foundation continued its commitment to educational research by authorizing 203 new grants and fellowships totaling \$24.8 million. These payments and authorizations were allocated to the following programs:

the Major Research Grants Program, responding to research projects longer than one year in duration and requiring more than \$12,000 in grant support;

the Small Research Grants Program, responding to research projects up to one year in duration and with cost requirements of \$12,000 or less;

the John D. and Catherine T. MacArthur Foundation/Spencer Foundation joint research and documentation program for professional development, which supports research studies analyzing policies and practices which appear to be successful in furthering the professional development of adults working in schools;

the Practitioner Research Communication and Mentoring Grants Program, an experimental program to support communications and networking among practitioner researchers;

the Spencer Dissertation Fellowship Program, offering approximately 30 fellowships for completion of the dissertation to graduate students conducting research related to education who have completed all other requirements for the doctoral degree;

the National Academy of Education/Spencer Postdoctoral Fellowship Program, offering approximately 30 postdoctoral fellowships for scholars within five years of the

award of their doctoral degree and;

Scholars in Residence at the Center for Advanced Study in the Behavioral Sciences.

In addition to these ongoing programs, the Foundation supports, on a severely limited basis, the convening of working groups of researchers addressing the concerns of specific areas of educational research. Such support is usually at the initiative of the Foundation.

Finally, the Foundation continues to experiment with ways in which the early stages of doctoral study in the field of education might be supported and methods by which research results might be more broadly disseminated. Current projects include the Research Training Grants Program and the Spencer Mentor Awards. Because they are intended as experiments, these projects are conducted solely at the invitation of the Foundation.

More information on specific programs, as well as a description of the Foundation's review processes, can be found beginning on page 10.

In all of its activities, the Foundation staff benefits enormously from the advice and guidance of others. In perhaps the foremost instance, our active and engaged Board of Directors sets policy and makes final decisions on grants.

The Program Advisory Committee for the Major Research Grant Program brings expertise from different disciplines to the review of proposals and to the identification of appropriate peer reviewers for individual projects. The Professional Development Research Advisory Committee performs the same function for our joint program with the MacArthur Foundation, as does the Practitioner Research Communication and Mentoring Advisory

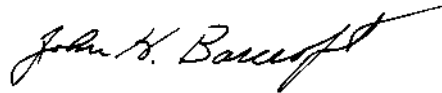
Committee for our grants in that program. The membership of these committees is listed on page 3; and we are deeply grateful for the thought and time they devote to strengthening our review process.

We could not operate a field-initiated research grant program without the willingness of scholars in the many disciplines and fields we support to serve as peer reviewers. In the last fiscal year, 246 scholars served as reviewers. We are grateful for their interest in furthering strong projects in educational research.

In a parallel fashion to the research advisory committees, the Foundation's Dissertation Fellowship Selection Committee, whose membership is also listed on page 3, did yeoman work in identifying the 1997 recipients of these fellowships from an excellent field of 614 applicants. Additionally, the Committee continued to provide useful guidance on ways to build com-

munication among the fellowship recipients and between them and established scholars.

In this final report, as I relinquish my role as Vice President of the Spencer Foundation to assume that role at the Carnegie Foundation for the Advancement of Teaching, I must record both my long-standing and my current indebtedness to the Board, the President, the staff and the grantees of the Spencer Foundation. Over a period of five years, they have educated me with unparalleled warmth, charity and intelligence. I shall miss the association enormously, but I hope to apply what I have learned at Spencer in ways useful and beneficial to Carnegie.



John H. Barcroft
Vice President

APPLICATION AND REVIEW INFORMATION

GENERAL SCOPE OF SUPPORT

The Foundation has as its primary mission, by the intent of its founder, "to investigate ways in which education can be improved, around the world." To achieve this goal, the Foundation is committed to supporting high quality investigation of education through its research programs and to strengthening and renewing the educational research community through fellowship programs and related activities. The Foundation defines education broadly to include all the situations and institutions in which education proceeds, across the entire life span. An important expectation of the Foundation is that the activities it supports, taken together over the years, will contribute significantly to the enhancement of educational opportunity for all people.

The research programs, comprised of Major Research Grants, Small Research Grants, and Professional Development Research and Documentation Grants support work that shows promise of contributing new knowledge, understanding, and improvement of educational thought and practice. The fellowship programs support educational researchers at different stages of their professional careers, providing resources to both young and senior researchers to pursue concentrated intellectual activity. Practitioner Research Communication and Mentoring Grants seek to increase the capacity of teacher researchers to bring new knowledge to bear on the problems of education and its practice.

As a matter of policy, the Foundation is unable to support requests for capital funds, operating or ongoing program expenses, direct support for teacher or staff preservice or in-service training, and funds for developing tests, curricula, or programs.

RESEARCH PROGRAMS

The Foundation encourages research that promises to yield new knowledge about education, in one or other of its forms, in the United States and abroad. It supports researchers from a wide range of disciplines and fields.

MAJOR RESEARCH GRANTS

The Foundation's Major Research Grants Program responds to research projects requiring more than \$12,000 in grant support. Spencer funds widely varied research projects, ranging from medium-sized studies that can be completed in a year by an individual researcher to more extensive collaborative studies that last several years.

Funding Priorities. The Foundation does not establish funding priorities for subjects of research. Funded projects derive from research ideas initiated in the field by scholars. The Foundation believes that the best scholarly work is done by those who conceive or recognize an important research idea or problem, have the professional skill to examine it, and the energy and perseverance to bring the project to a successful conclusion.

Eligibility. Ordinarily, researchers must be currently affiliated with a school district or with a college or university, a research facility or a cultural institution. Researchers must have an earned doctorate in an academic discipline or professional field and/or experience in the teaching profession.

Restrictions. The Foundation does not grant funds to maintain organizations or infrastructure of educational research. Grantees may not receive two research grants simultaneously from the Spencer Foundation. Please note that the Foundation does not pay government-approved overhead rates on research grants; overhead requests on major research grants may not exceed 15% of the requested direct costs.

Application Procedure. Since the Foundation does not usually accept fully developed proposals unless it has requested them, applicants seeking research support from the Major Research Grants Program are asked to submit a brief preliminary proposal. Preliminary proposals should be no more than 1500 words in length. Within those limits, we request the following information:

- a brief description of the project and the new knowledge expected to result from it;

- a concise summary of the research methodologies, modes of analysis, and/or instruments which the project will employ;
- a clear identification of the principal investigator(s) and a clear definition of the roles the principal investigator(s) and any supporting researcher(s) will play;
- an estimate of the timeframe for the project and the approximate cost, including the approximate amount to be sought from the Spencer Foundation.

Attachments must include:

- phone number(s) and/or fax number(s) where principal investigator(s) may be reached;
- the curriculum vitae of the principal investigator(s).

Inquiries and preliminary proposals are welcome at any time and should be addressed to: Vice President, The Spencer Foundation, 900 North Michigan Avenue, Suite 2800, Chicago, Illinois 60611-1542.

SMALL RESEARCH GRANTS

The Foundation's Small Research Grants Program supports research projects with grant budgets of \$12,000 or less and of one year or less in duration. It offers a unique opportunity to researchers and teachers in a broad range of institutions who are engaged in educational research. The program is appropriate for modest-sized research projects, exploratory studies, specific phases of larger investigations, and projects which arise in response to unusual opportunities. The Small Research Grants Program encourages researchers with diverse perspectives to develop ideas and approaches which extend the conventional boundaries of a research question, area, or method. The program supports individual efforts as well as collaborations.

Eligibility. Ordinarily, researchers must be currently affiliated with a school district or with a college or university, a research facility or a cultural institution. Researchers must have an earned doctorate in an academic discipline

or professional field and/or experience in the teaching profession .

Restrictions. Grants made under the program range from \$1,000 to an upper limit of \$12,000. Projects may not extend beyond a year in duration. Grantees are not permitted to receive two research grants simultaneously from the Spencer Foundation. Please note that the Foundation does not pay government-approved indirect cost rates on research grants, and it prefers not to pay indirect costs in the Small Research Grants Program. Researchers seeking support for their doctoral dissertation should apply to the Spencer Dissertation Fellowship Program.

Application Procedure. Unlike the Major Research Grants Program, a preliminary proposal is not required. Proposals for support from the Small Grants Program should be in the form of a statement with attachments. The statement should not exceed 1500 words in length (approximately five double-spaced pages) and provide clear information on the following:

- a concrete description of the proposed research project;
- a brief summary of the relevant literature and of how the research question relates to existing knowledge;
- the methodologies and modes of analysis to be employed in the project;
- the role of the researcher(s);
- the new knowledge about education expected to result from the project;
- the potential contribution of that new knowledge to the improvement of education.

The attachments should include:

- a one-paragraph summary of the project, written for the interested informed lay person;
- a detailed budget for the project;
- approval of the budget from the appropriate financial officer of the institution;
- a full curriculum vitae of the principal investigator(s);
- phone number(s) and/or fax number(s)

Application Information

where the researcher(s) may be reached.

Two copies of the proposal and attachments are requested.

Insofar as feasible, proposals which include all the information requested above will be acted upon within approximately three months of receipt by the Foundation. Proposals are welcome at any time and should be addressed to: Small Research Grants Program, The Spencer Foundation, 900 North Michigan Avenue, Suite 2800, Chicago, Illinois 60611-1542.

PROFESSIONAL DEVELOPMENT RESEARCH AND DOCUMENTATION PROGRAM

The Professional Development Research and Documentation Program supports studies on the professional development of adults working in elementary and secondary schools. Sponsored jointly by the John D. and Catherine T. MacArthur Foundation and the Spencer Foundation, the Program seeks to support research that identifies proven professional development strategies, conditions, and/or policies that foster the development of the knowledge and skills required for effective teaching. Grants range from \$5,000 - \$50,000 annually.

Funding Priorities. Studies are sought that will aid educators, policymakers, and school communities in understanding, establishing and sustaining effective professional development, particularly of teachers and administrators.

Eligibility. Practitioners, researchers and policy analysts in education, as well as other fields, and community-school partners are eligible individually or in groups. Applicants must be affiliated with a not-for-profit agency through which funds will be distributed. Studies focused on preservice teacher education programs are not eligible.

For Information. A brochure describing application procedures for the Professional Development Research and Documentation Program is available from the Foundation. Inquiries should be directed to: Professional Development Research and Documentation

Program, The Spencer Foundation, 900 North Michigan Avenue, Suite 2800, Chicago, Illinois 60611-1542.

PRACTITIONER RESEARCH COMMUNICATION AND MENTORING GRANTS

The Practitioner Research Communication and Mentoring Grants are intended to:

- establish or strengthen channels for rigorous examination and discussion of the characteristics of, and knowledge produced by, well-constructed teacher research and
- provide teacher researchers with the opportunity to enhance their research skills through consultation with others in the teacher research and/or traditional academic communities.

In general, grants range from \$2,000 to \$15,000 annually.

Eligibility. Teacher researchers, groups or networks of teacher researchers, and collaborative partnerships between teacher researchers and university researchers are eligible to apply. Applicants must be affiliated with a not-for-profit agency through which funds will be distributed. Please note that individuals or groups seeking funding directly for research projects by teachers, rather than for projects that examine and strengthen the character of teacher research, should apply to the Spencer Small Research Grants Program.

For Information. A brochure with more detailed information on funding priorities, eligibility, grant deadlines, and application procedures is available from the Foundation. Inquiries should be directed to: Practitioner Research Communication and Mentoring Program, The Spencer Foundation, 900 North Michigan Avenue, Suite 2800, Chicago, Illinois 60611-1542.

FELLOWSHIP PROGRAMS

Through its Fellowship Programs, the Spencer Foundation supports scholars engaged in educational research at different stages of their professional lives. However, the only fellowship program administered directly by the Foundation is the Spencer Dissertation Fellowship Program. This and other Spencer-supported fellowship programs are described below.

DISSERTATION FELLOWSHIP PROGRAM FOR RESEARCH RELATED TO EDUCATION

The Dissertation Fellowship Program seeks to encourage a new generation of scholars from a wide range of disciplines and professional fields to undertake research relevant to the improvement of education. The Foundation believes that insight from many research traditions can contribute to an understanding of education as a fundamental human endeavor and advance our ability to address significant current issues in education. Therefore, the Spencer Dissertation Fellowships support individuals whose dissertations show potential for bringing fresh and constructive perspectives to the history, theory, or practice of formal or informal education anywhere in the world.

Eligibility. Applicants must be candidates for the doctoral degree at a graduate school in the United States. These fellowships are not intended to finance data collection or the completion of doctoral course work, but rather to support the final analysis of the research topic and the writing of the dissertation. For this reason, all applicants must document that they will have completed all pre-dissertation requirements by June 1 of the year in which the fellowship is awarded, and must provide a clear and specific plan for completing the dissertation within a two-year time frame.

Funding Priorities. Although the dissertation topic must concern education, graduate study may be in any academic discipline or professional field. In the past, fellowships have been awarded to candidates in anthropology, architecture, art history, economics, education,

history, linguistics, literature, philosophy, political science, public health, psychology, religion, and sociology, but eligibility is not restricted to these academic areas. Candidates should be interested in pursuing further research in education once the doctorate is attained.

Awards and Conditions. Approximately 30 non-renewable fellowships are awarded each year. Recipients receive \$17,000 to support completion of the dissertation, an amount to be expended within two years and in accordance with the work plan provided by the candidate in the application. In addition, recipients participate in a series of forums designed to develop professional networks and support cross-disciplinary exchange. Fellows may not accept employment other than as described (if any) in the application nor may they accept other awards providing duplicate benefits without the written permission of the Program Officer.

Application Procedure. Fellowship applicants must request current application forms and instructions by mid-October of the year prior to the year in which the fellowship takes effect. Students must submit their completed applications by an early November date designated in each year. Awards are announced in April.

Inquiries concerning the Dissertation Fellowship Program should be addressed to: Dissertation Fellowship Program, The Spencer Foundation, 900 North Michigan Avenue, Suite 2800, Chicago, Illinois 60611-1542.

NATIONAL ACADEMY OF EDUCATION/ SPENCER POSTDOCTORAL FELLOWSHIP

Administered by the National Academy of Education, the Spencer Postdoctoral Fellowships are designed to promote scholarship in the United States and abroad on matters relevant to the improvement of education in all its forms. Scholars anywhere in the world who have completed their doctorate within the last five years, and who wish to conduct research related to education, may apply.

Application Information

Inquiries concerning the Postdoctoral Fellowship Program should be addressed to: The National Academy of Education, Stanford University, School of Education, CERAS Building, Room 108, Stanford, California 94305-3084.

AERA/SPENCER RESEARCH TRAINING FELLOWSHIPS

The American Educational Research Association (AERA)/Spencer Doctoral Research Training Fellowship Program provides one-year fellowships for graduate students midway through their doctoral programs. Inquiries should be addressed to: AERA/Spencer Doctoral Research Fellowship Program, The American Educational Research Association, 1230 17th Street, NW, Washington, DC 20036. Students at institutions receiving Spencer Research Training Grants are not eligible for these fellowships.

SUPPORT FOR SCHOLARS AT THE CENTER FOR ADVANCED STUDY IN THE BEHAVIORAL SCIENCES

Since 1971, the Foundation has contributed to the support of Spencer Fellows at the Center for Advanced Study in the Behavioral Sciences in Palo Alto, California. Three to five scholars with interests in issues of education, development, cognition, and the social contexts of learning are supported annually.

Inquiries should be addressed to: Director, Center for Advanced Study in the Behavioral Sciences, 202 Junipero Serra Boulevard, Stanford, California 94305.

INVITATIONAL PROGRAMS

In addition to its regular grants and programs, the Spencer Foundation conducts three grant programs by invitation only. The Spencer Scholars Program supports established scholars who are identified as being at the peak of their careers by their peers. Through the Research Training Grants Program, the Foundation makes a limited number of grants to schools of education to support the graduate doctoral

training of educational researchers. The Foundation awards grants through its Mentor Program to individual scholars with a strong record of mentoring doctoral students preparing for a career in educational research.

THE REVIEW PROCESS

Research proposals and fellowship applications submitted to the Spencer Foundation go through a rigorous review process. All proposals are reviewed by Spencer professional staff. Another dimension of expertise is added to the Foundation's programs by its review committees of external scholars, who assist the Major Research Grants Program, the Professional Development Research and Documentation Program, the Practitioner Research Communication and Mentoring Program, and the Dissertation Fellowship Program.

The goal of the external review is not to achieve some threshold rating in points from reviewers; rather, it is to bring solid scholarly advice to bear on funding decisions. The Foundation receives many more well-conceived and worthwhile projects than it can possibly assist within its budget. It is therefore frequently necessary to forgo opportunities to support high quality projects in the research programs or in the fellowship competitions even though they are well within the Foundation's area of interest.

NOTE: The current members of the Foundation's Board of Directors, review committees and staff, as well as updates of the information in this Annual Report, can be found at the Spencer Foundation Web Site, <http://www.spencer.org>. Additionally, this site permits downloading of the Foundation's 25th Anniversary Annual Report (1996) and the current year's Annual Report.

The Foundation's Programs

• The Spencer Foundation supports research and fellowships which give promise of yielding new knowledge leading to the improvement of education. This work is divided into two main categories: Research Programs and Fellowship Programs. Grants authorized under these programs during this year are listed on pages 16 - 28, and ongoing grants appear on pages 29 - 32.

MAJOR RESEARCH GRANTS

Richard C. Anderson and William E. Nagy
Learning to Read Chinese: Effects of Metalinguistic Knowledge and Volume of Reading on the Acquisition of Literacy in a Non-Alphabetic Writing System
Center for the Study of Reading
University of Illinois at Urbana-Champaign
\$321,450 over three years

Kathryn H. Au
The Successful Education of Hawaiian Children: A Study of Preservice and Mentor Teachers
College of Education
University of Hawaii
\$192,100 over three years

Barbara R. Beatty
Teaching Teachers: A History of American Teacher Education
Department of Education
Wellesley College
\$77,800 over fifteen months

Marjorie J. Beeghly and Edward Z. Tronick
Early Development of African-American Children: Factors Predicting Cognitive Competence and Adjustment
Child Development Unit
Children's Hospital, Boston
\$300,000 over three years

Roger Benjamin, Lorraine M. McDonnell, and P. Michael Timpane
The Democratic Purposes of Education
Institute on Education and Training
The RAND Corporation
\$124,900 over one year

Mark Berends and Samuel R. Lucas
The Structure and Effects of Tracking in the United States: A Temporal Perspective
Institute on Education and Training
The RAND Corporation
\$472,800 over three years

David Bloome and Susan R. Goldman
Using Multiple Texts for Academic Learning: Social and Cognitive Perspectives
Department of Teaching and Learning
Vanderbilt University
\$532,900 over three years

Lloyd Bond
To Investigate Sources of Adverse Impact in the National Board for Professional Teaching Standards Early Adolescence/English Language Arts Assessment
Center for Educational Research and Evaluation
University of North Carolina at Greensboro
\$469,600 over twenty-two months

Ronald S. Burt and Joseph Jannotta, Jr.
Building Bridges: A Study of Mentors and the Social Capital of Promising Minorities
Chicago Management Council
\$45,000 over one year

Jeanne Brooks-Gunn
Storytimes: Language and Literacy in the Context of Home Visiting Programs
Center for Young Children and Families
Teachers College, Columbia University
\$238,900 over three years

Robert B. Cairns
Intergenerational Turning Points for School Success
Center for Developmental Science
University of North Carolina at Chapel Hill
\$258,750 over three years

Donna Christian
Second Publication of Comparative Data from Phase I of the Language Education Study
Center for Applied Linguistics
\$28,000 over five months

Michael N. Danielson and Jennifer L. Hochschild
With the Best Intentions: New York State and Racial Separation in Yonkers
Woodrow Wilson School of Public and International Affairs
Princeton University
\$162,600 over one year

Wolfgang Edelstein
International Workshop on School Transformation
Center for Development and Socialization
Max Planck Institute for Human Development and Education
\$23,000 over one year

Michael J. Feuer
Assessment Strategies for the Federal Title I Program
Commission on Behavioral and Social Sciences and Education
National Academy of Sciences
National Research Council
\$100,000 over two years

Michael Fultz
African-American Teachers in the South, 1890-1960
Department of Educational Policy Studies
University of Wisconsin-Madison
\$182,100 over three years

Frank Furstenberg
Longitudinal Study of Eighth Graders in Philadelphia Schools
Department of Sociology
University of Pennsylvania
\$25,000 over six months

Ann G. Gold and Bhoju R. Gujar
Environmental Knowledge in Rajasthan: Learning and Teaching in Contrasting Contexts
Department of Religion
Syracuse University
\$49,750 over one year

Esther N. Goody
Authority and Effective Learning in Northern Ghana
Department of Social Anthropology
University of Cambridge
\$232,900 over three years

Stephen J. Griffin
Making the Transparent Visible: Teachers' Research on Classroom Discourse
Technical Educational Research Center (TERC)
\$249,700 over three years

G. Alfred Hess
Strengthening the Links Between Communities and Schools
School of Education and Social Policy
Northwestern University
\$300,000 over three years

Harry Judge
The State, Schools and Religion
Brasenose College
University of Oxford
\$37,000 over one year

Richard Kahlenberg
Research and Writing of a Book Examining Inequality of Educational Opportunity
Center for National Policy
\$25,000 over six months

John F. Kain

Minority Suburbanization and the Achievement of Minority Students
Department of Economics
Harvard University
\$214,900 over two years

Mary Kelley, Ellen Fitzpatrick, and Barbara Sicherman

Conference on Women's Intellectual History
Department of History
Dartmouth College
\$13,000 over five months

Helen Ladd and Jens Ludwig
Supplemental Funding for the Project "The Impact of the Moving to Opportunity Experiment on the Educational Opportunities and Outcomes of Children"
Sanford Institute of Public Policy
Duke University
\$15,800 over six months

Valerie E. Lee

High School Size: Effectiveness, Equity, and Meaning to School Members
School of Education
University of Michigan
\$101,500 over one year

Mary J. Levitt and

Jerome L. Levitt
Social Networks and School Adaptation Across the Child to Adolescent Transition
Department of Psychology
Florida International University
\$293,350 over four years

Mary Haywood Metz

Real Schools in Disparate Circumstances: How Community Social Class Shapes Teachers' Working Lives and the Opportunities They Learn to Offer Their Students
Department of Educational Policy Studies
University of Wisconsin-Madison
\$40,000 over one year

Pamela A. Moss

Developing Coherence Between Assessment and Reform: A Role for Hermeneutics in Licensing and Professional Development of Teachers
School of Education
University of Michigan
\$459,650 over two years

Margaret A. M. Murray

Factors Contributing to Women's Success as Professional Mathematicians: The Doctoral Classes of 1940-1959
Department of Mathematics
Virginia Polytechnic Institute and State University
\$65,100 over fifteen months

Rebecca S. New and

Bruce L. Mallory
The Socio-Cultural Construction of Home-School Relations: The Case of Reggio Emilia and Contemporary Italy
Department of Education
University of New Hampshire
\$296,150 over two years

Norman Nie

Educational and Social Outcomes Research Analysis
Department of Political Science
University of Chicago
\$20,000 over one year

John U. Ogbu

Cultural Models and Educational Strategies
Department of Anthropology
University of California, Berkeley
\$94,600 over one year

Gary Orfield and

Christopher F. Edley, Jr.
Conference on The Future of Affirmative Action in Higher Education
Graduate School of Education
Harvard University
\$10,000 over six months

Harold A. Richman and

Joan R. Wynn
Furthering Education: The Relationship of Schools and Other Institutions
Chapin Hall Center for Children
University of Chicago
\$320,000 over two years

Joanne E. Roberts and

Margaret R. Burchinal
A Longitudinal Study of the Role of Language in School Success for African-American Children
Frank Porter Graham Child Development Center
University of North Carolina at Chapel Hill
\$327,950 over three years

Melissa Roderick

Student Life in High Schools Project
School of Social Service Administration
University of Chicago
\$28,800 over ten months

Dorothy Ross

Conference on The History of the Social and Behavioral Sciences Since the Late Nineteenth Century
The Woodrow Wilson International Center for Scholars
\$30,000 over one year

John B. Willett and

Judith D. Singer
Bridging the Gap Between Methodology and Substance: Advances in Study Design and Statistical Analysis for Educational Research
Graduate School of Education
Harvard University
\$397,950 over three years

J. Douglas Willms

School and Community Effects on Children's Educational and Health Outcomes
Atlantic Centre for Policy Research in Education
University of New Brunswick
\$271,350 over four years

The Spencer Foundation Major Research Grants Program is administered by the Spencer Foundation. Inquiries may be directed to: Vice President, The Spencer Foundation, 900 North Michigan Avenue, Suite 2800, Chicago, IL 60611-1542.

SMALL RESEARCH GRANTS

Karen Alford

How Writing Affects Thinking and How Sharing Writing Affects the Community of the Classroom
Audubon Montessori School,
New Orleans, Louisiana

Jeffrey J. Arnett

Mexican-American Perspectives on the Transition to Adulthood
Department of Human Development and Family Studies
University of Missouri-Columbia

Margarita M. Azmitia and

Catherine R. Cooper
Are Mexican-Descent Students Academic Mentors for their Younger Siblings?
Psychology Department
University of California,
Santa Cruz

Alexander G. Bearn

Medical Influence of the Regius Professors of Physics on Medical Practice in the U.K.
Department of Medicine
Rockefeller University

Small
Research
Grants

- David Bjorklund
Social Construction of Simple Arithmetic Strategies in Young Children
Department of Psychology
Florida Atlantic University
- Camille L.Z. Blachowicz and Peter J.L. Fisher
Constructing a Framework for Analyzing Clinical Reflection: Reading Specialists Reflect on Clinical Instruction
National College of Education
National-Louis University
- Nancy W. Brickhouse
Girls' Engagement With/In Science
Department of Educational Development
University of Delaware
- Michael J. Brien
Work During High School and Academic Achievement
Department of Economics
University of Virginia
- David C. Brotherton and Luis Barrios
Homeboys, Homegirls and Schooling: A Comparative Case Study of Gang Members Experience of Education
Department of Sociology
John Jay College of Criminal Justice
City University of New York
- Susan F. Callahan
The Effects of the Kentucky Portfolio Assessment on One High School English Department
English Department
Northern Illinois University
- Eamonn Callan
The Dilemma of Political Education in a Liberal Democracy
Department of Educational Policy Studies
University of Alberta
- Steven H. Chaffee
Instructional Factors Affecting Political Socialization Effects of "El Diario en la Escuela" in Argentina
Department of Communication
Stanford University
- Maria Charles
Human Capital Development and Occupational Sex Segregation in Comparative Perspective: The Impact of Educational Structure
Department of Sociology
University of California, San Diego
- Scott R. Christian
A Tripartite Case Study of the Implementation of an Authentic Assessment
Juneau Douglas High School,
Juneau, Alaska
Write to Change, Inc.
- Thomas Dixon Cook, Melinda Scott Krei, and Stephanie Alter Jones
College for All: Expectation and Choice in High School Students' Post-Secondary Planning
Center for Urban Affairs and Policy Research
Northwestern University
- Helen Damon-Moore
Gender and Service through History
Women's Studies
Cornell College
- Verda Delp
Resource Mapping and Log Writing
Willard Junior High School,
Berkeley, California
Berkeley Public Education Foundation
- Melissa E. DeRosier
Teacher Influences on the Negative Impact of Peer Rejection on Children's Academic and Behavioral Functioning
Graham Child Development Center
University of North Carolina at Chapel Hill
- Ruben Donato
Mexican-American Education in Southern Colorado, 1920-1954
School of Education
University of Colorado at Boulder
- Eric Durbrow
Refining Prediction of Caribbean Children's Academic Performance
Institute of Child Development
University of Minnesota
- Patricia A. Edwards
Examining Instructional Dialogues Used in Parent-Teacher Conferences
Department of Teacher Education
Michigan State University
- Terrie L. Epstein
Historical Understanding Among Eighth-Grade African-American and European-American Adolescents
School of Education
University of Michigan
- Walter Feinberg
An Examination of the Philosophical Foundation of Affirmative Action: Educational Implications
Department of Educational Policy Studies
University of Illinois at Urbana-Champaign
- John Fitz
A Study of Local Response to National Assessment in England and Wales
School of Education
University of Wales, Cardiff
- Julie A. Foertsch
CIC Summer Research Opportunity Programs: The First Ten Years
LEAD Center
University of Wisconsin-Madison
- Anastasia J. Gage
Schooling and Child Labor in Ghana: Family Strategies and Gender Roles
Department of Sociology
Pennsylvania State University
- Scott David Gest
Reading Skill Development and Classroom Adaptation from Kindergarten to Second Grade
Center for Developmental Science
University of North Carolina at Chapel Hill
- Gerald Grant
Teaching in America: A Slow Revolution
Cultural Foundations of Education
Syracuse University
- Wendy Haight
The Role of Parent-Child Pretend Play in Facilitating Young Children's Entry into Pretend Play with Peers
School of Social Work
University of Illinois at Urbana-Champaign
- David Torrey Hansen
Teaching as a Moral Activity
College of Education
University of Illinois at Chicago
- Stephen L. Harp
Creating Class in Childhood: Cultural Definitions of Bourgeois and Worker in Nineteenth-Century French Nursery Schools
Department of History
University of Akron

Small
Research
Grants

- Jenifer Helms
Telling the Lives of Women Science Teachers: Exploring the Relationships Among Science, Gender, and Science Teaching
School of Education
University of Colorado at Boulder
- Suellen Hoy
Teaching Black Girls: Catholic Sisters in Chicago's South Side High Schools, 1948-1973
Department of History
University of Notre Dame
- Carol S. Huntsinger and Paul E. Jose
Achievement, Stress, and Psychosocial Adjustment of Chinese-American and Euro-American Adolescents
Department of Psychology
Loyola University of Chicago
- Carol S. Huntsinger and Paul E. Jose
Is Early Formal Mathematics Instruction Linked to Lower Creativity and Emotional Problems?
Department of Psychology
Loyola University of Chicago
- Carol Jenkins
Intertextuality in Children's Nonfiction Writing
School of Education
Boston University
- Peter H. Kahn, Jr. and Orlando Lourenco
Air, Water, Fire and Earth: A Developmental Study of Environmental Conceptions and Values
Program in Education and Human Development
Colby College
- Gregory J. Kelly
Exploring What Counts as Science: An Analysis of the Discourse Practices in a Physics Classroom
Graduate School of Education
University of California, Santa Barbara
- Alan C. Kerckhoff
Antecedents and Consequences of Types of Postsecondary Vocational Education
Department of Sociology
Duke University
- Michael S. Kimmel
Determinants of Success for Women in Military Educational Institutions: A Historical Perspective on Future Prospects
Department of Sociology
State University of New York at Stony Brook
- David A. Kinney
The Making of an Academic Epiphany: Delineating Student Transformation at a Successful Alternative School
Department of Sociology, Anthropology and Social Work
Central Michigan University
- Louise Knight
The Prospects and Perils of Self-Education: Jane Addams in the 1880s
Spertus Institute, Chicago, Illinois
- Anne M. Knupfer
"To Become Good, Self-Supporting Women:" Delinquent Girls and their Re-Education in Progressive-Era Chicago
Department of Educational Studies
Purdue University
- Joanne Larson
Informing the Debate Over Whole Language and Phonics Pedagogies: An Ethnographic Study of Situated Language and Literacy Practices
Warner Graduate School of Education and Human Development
University of Rochester
- Elizabeth A. Lee, Valerie Anderson, and Carl Bereiter
Improving Adolescents' Understanding of the Reading-Writing Process
Ontario Institute for Studies in Education
University of Toronto
- Valerie E. Lee
School Members Reflect on the Meaning of High School Size
School of Education
University of Michigan
- Xin Ma
Dropping Out of Mathematics: How Much Do Students and Schools Contribute to the Problem?
Atlantic Centre for Policy Research in Education
University of New Brunswick
- Victoria Maria MacDonald
Exploring and Directing the Complex Historiography of Hispanic American Education
Department of Educational Foundations and Policy Studies
Florida State University
- Nancy K. Mack
Cognitive Restructuring and Understanding Multiplication and Division of Fractions
School of Education
University of Pittsburgh
- Kathleen Mahoney
Modernity and the Education of American Catholics
Center for the Study of Religion and American Culture
Washington University
- Susan J. Maller
Differential Item Functioning in the WISC-III: Item Parameters for Boys and Girls in National Standardization Sample
College of Education
University of South Florida
- William E. Marsden
Two Hundred Years of Geography Teaching
Department of Education
University of Liverpool
- Mary Haywood Metz
Teaching in the Other America: The Impact of Poor Urban Communities on Teachers' Practice in Two High Schools
Department of Educational Policy Studies
University of Wisconsin-Madison
- Carol Midgley
Assessing the Classroom Goal Structure: Using Classroom Observations to Supplement Survey Data
School of Education
University of Michigan
- Richard Miech
Educational Attainment and Psychiatric Disorders
Department of Sociology
University of Wisconsin-Madison
- Johnetta Wade Morrison
Ethnic Identity Development in Children of Black and White Parentage
Department of Human Development and Family Studies
University of Missouri-Columbia

Small
Research
Grants

- Martin John Packer
Systemic School Reform and Community Transformation
Department of Psychology
Duquesne University
- Pamela Sussman Paternoster
Cambridge Algebra Project Reform Effort
King Open School, Cambridge, Massachusetts
The Algebra Project, Inc.
- Joan Peskin
High School Students' Understanding of Poetry as Discourse: An Expert-Novice Study
Institute of Child Study
University of Toronto
- Marc T. Pizarro
Understanding the Social Construction and Evolution of Chicana/o Identity: Implications for Educationally Empowering Chicana/o Youth
Department of Comparative American Cultures
Washington State University
- Vai Ramanathan and Dwight S. Atkinson
Learning English in a Postcolonial Culture: The Struggles of Gujarati College Students with English as Medium of Instruction in India
Department of English
University of Alabama
- Maureen F. Reddy
Supporting Science Talk in the Elementary School
Jacob Hiatt Center for Urban Education
Clark University
- William J. Reese
Public Schools and the Common Good
School of Education
University of Wisconsin-Madison
- Gloria Rogers
Students' Problem Solving Abilities and Procedures
Rose-Hulman Institute of Technology
- Rosemary C. Salomone
Values in Conflict: A Case Study of Parental Dissent, School Governance, and the Limits of Constitutionalism
School of Law
Saint John's University
- Katherine Schultz and James E. Davis
After Desegregation: Students and Teachers Talk about "Race" and Relations in Post-Desegregated Schools
Department of Educational Development
University of Delaware
- David Shapiro
Determinants and Consequences of Young Women's Access to Education in Kinshasa, Congo
Department of Economics
Pennsylvania State University
- Dorothy Shipps
Big Business and Urban School Reform: Governing the Chicago Public Schools, 1979-1995
Consortium for Chicago School Research
University of Chicago
- Harvey Siegel
Multi-Culturalism and the Possibility of Trans-Cultural Educational Ideals
Department of Philosophy
University of Miami
- Kusim Singh, Susan B. Murphy, and Andrew J. Stremmel
Literacy Skill Development in Preschool Children: Effects of Interactive Reading and Retelling
College of Education
Virginia Polytechnic Institute and State University
- Judith W. Steinbergh
The Use of Metaphor in Poetry about Family by Second through Fifth Graders
Brookline Public Schools, Brookline, Massachusetts
Troubadour, Inc.
- Edward W. Stevens
Democracy and Diversity: Historical and Philosophic Foundations
College of Education
Ohio University
- Susan Ellen Stires
The Benefits of Oral Sharing Time for Young Children under Certain Conditions for Learning
The Center for Teaching and Learning, Edgecomb, Maine
- Sam Swope
Acquisition of Writing Skills from Third through Fifth Grades
Public School 89, Queens, New York
- Aaron Thompson and Jeffrey J. Arnett
African-American Adolescents' Perspectives on Education
Department of Human Development and Family Studies
University of Missouri-Columbia
- Carolyn J. Thompson
Civil Rights Era Movers and Shakers in Higher Education: African-American Student Leadership and the San Francisco State College Story, 1967-1969
Graduate School of Education
State University of New York at Buffalo
- Alfred Martin Wainwright
The Education of South Asians in Britain, 1835 to the Present
Department of History
University of Akron
- Jeffrey N. Wasserstrom
Literacy Primers as Transmitters of New Political Vocabularies: Chinese and Russian Case Studies
Department of History
Indiana University
- Arlette Ingram Willis
An Enigma in the Heart of the Black Belt: Calhoun Colored School 1892-1943
College of Education
University of Illinois at Urbana-Champaign
- Mark R. Wilson
Implementing "Concept Time Lines": A Tool for Analyzing Interview Data
Graduate School of Education
University of California, Berkeley
- Roger A. Wojtkiewicz
Family Disruption, Income Change, and College Entry: Who Gets Hurt the Most?
Department of Sociology
Louisiana State University
- James H. Wyckoff and R. Hamilton Lankford
The Effect of School Choice and Residential Location on the Educational Environment of K-12 Students
Department of Public Administration and Policy
State University of New York at Albany

Inquiries about the Small Research Grants Program may be directed to: Small Research Grants Program, The Spencer Foundation, 900 North Michigan Avenue, Suite 2800, Chicago, IL 60611-1542.

THE JOHN D. AND CATHERINE T. MACARTHUR FOUNDATION/ SPENCER FOUNDATION PROFESSIONAL DEVELOPMENT RESEARCH AND DOCUMENTATION GRANTS

Sophia Cohen
When the Learners' Thinking Takes Center Stage: A Study of Teacher and Classroom Change
Center for the Development of Teaching
Education Development Center, Inc.
\$81,743 over two years

Merryl Goldberg
SUAVE: Examining the Role of Coaching as a Professional Development Model
College of Education
California State University, San Marcos
\$150,000 over three years

David Hammer
Advancing Reforms in Science Education: Teachers' Conceptual Resources
Education Development Center, Inc.
\$106,537 over two years

Catherine Lewis, Victor Battistich and Daniel Solomon
Educational Change and the Role of Teacher Community: Understanding the Effects of the Child Development Project
The Developmental Studies Center
\$149,700 over three years

Annemarie Palincsar and Shirley Magnusson
Three Activity Settings Supporting Communities of Practice Among Teachers
School of Education
University of Michigan
\$105,078 over two years

Vivian Troen, Katherine Boles and Mieko Kamii
A Study to Analyze the Process, Conditions, and Policy Arrangements that Support Teacher Learning in a Successful Professional Development Site
Brookline Public Schools and Boston Public Schools
\$149,550 over three years

Dennis Palmer Wolf
Going for Broke: Sustained Professional Development for Mid-Career Teacher-Leaders
Performance Assessment Collaboratives for Education (PACE)/Harvard Graduate School of Education
Harvard University
\$122,011 over three years

The John D. and Catherine T. MacArthur Foundation/Spencer Foundation Professional Development Research and Documentation Program is administered by the Spencer Foundation. Inquiries may be directed to: MacArthur/Spencer Professional Development Research and Documentation Program, The Spencer Foundation, 900 North Michigan Avenue, Suite 2800, Chicago, IL 60611-1542.

PRACTITIONER RESEARCH COMMUNICATION AND MENTORING GRANTS

Shirley P. Brown and Lisa Gelzer
Girls, Guys, and Gaps: Gender Construction and Classroom Practices
Philadelphia Writing Project
Graduate School of Education
University of Pennsylvania
\$12,000

Sarah Warshauer Freedman
Expanding Collaborations: A Network and Communications Grant
School of Education
University of California, Berkeley
\$15,000

Judith L. Green and Carol N. Dixon
Teachers as Ethnographers of Their Own Practice: Creating Pathways to Interactions
Santa Barbara Classroom Discourse Group
Graduate School of Education
University of California, Santa Barbara
\$14,950

Marion Guerra
Mentoring Teacher Research Partnerships: Crossing Bridges to Extend the Community
Worcester Public Schools
Worcester, MA
\$13,520

Nancy Jennings
Ganado Intermediate School: A Site for Inquiry and School Reform
Ganado Intermediate Schools
Ganado, Arizona
\$15,000

Christine H. Leland and Jerome Harste
The "Education as Inquiry" Study Group
School of Education
Indiana University-Purdue University at Indianapolis
\$15,000

Beatriz Manz
Education in a Maya Village in the Rain Forest of Guatemala: Mentoring Rural Teacher Researchers
Department of Geography and Ethnic Studies
University of California, Berkeley
\$15,000

Brenda Miller Power and Ruth Shagoury Hubbard
Toolbox: Classroom Inquiry Strategies and Techniques
The University of Maine
\$14,975

Emily van Zee
Inquiring into Science Learning and Teaching
Science Teaching Center
College of Education
University of Maryland at College Park
\$4,000

The Spencer Foundation Practitioner Research Communication and Mentoring Grants Program is administered by the Spencer Foundation. Inquiries may be directed to: Practitioner Research Communication and Mentoring Grants Program, The Spencer Foundation, 900 North Michigan Avenue, Suite 2800, Chicago, IL 60611-1542.

SPENCER DISSERTATION FELLOWS

Thea Abu El-Haj
Doing Difference Differently: Frameworks for Promoting Change
Graduate School of Education
University of Pennsylvania

Sahara Patricia Baquedano-Lopez
Language and Identity: Language Socialization in Religious Education Classrooms
TESL/Applied Linguistics
University of California, Los Angeles

Eric Baumgartner
Science by Design: How Teachers Support Scientific Inquiry Through Design Projects
School of Education and Social Policy
Northwestern University

Lorraine Bell
Schooling Trajectories: Patterns of Women's Education and Work over the Life Course
Department of Sociology
Duke University

Jill Bouma
Children's Education and Work Roles in China
Department of Sociology
University of North Carolina at Chapel Hill

Bryan Brayboy
Climbing the Ivy: Examining the Experiences of Successful Native American Indians in Two Ivy League Universities
Graduate School of Education
University of Pennsylvania

Lynn Casmier-Paz
The Effects of Literacy in North American English Language Slave Narratives
Department of English
University of Pittsburgh

Mary Dillard
A Social History of the West African Examinations Council: 1952-1979
Department of History
University of California, Los Angeles

Paul Garrett
Language Socialization and Language Convergence in St. Lucia, West Indies: The Challenge of Education in a Dynamic Creole Environment
Department of Anthropology
New York University

Natasha Gill
Education and the French Enlightenment Notion of "Perfectibility": The Educational Philosophy of Jean-Jacques Rousseau and Claude Adrien Helvetius
Department of History
New York University

Lorie Hammond
Teaching and Learning with the Iu Mien: A Case Study in School-Community Relations
Division of Education
University of California, Davis

Shannon Jackson
Democratic Transformation and the Public Sphere of Education in South Africa
Department of Anthropology
University of Chicago

David Kaiser
The Cultures of Calculating: Training American Theoretical Physicists in an Age of Big Science
Department of History of Science
Harvard University

Julie Kalnin
Teachers Learning: A Collaborative Research Network in Action
School of Education
University of California, Berkeley

Chauncy Lennon
Home Rule: Race, Education, and the Politics of Local Control
Department of Anthropology
Columbia University

David Levine
Radical Pedagogy and Transformative Politics in the Southern Civil Rights Movement, 1960 to 1969
School of Education
University of Wisconsin-Madison

Andrew Lewis
"...of all the people:" Race, Citizenship, and Education in Virginia Since 1945
Department of History
University of Virginia

Reitumetse Mabokela
Black Students on White Campuses: Responses to Increasing Black Enrollments at Two South African Universities
College of Education
University of Illinois at Urbana-Champaign

Rodrigo Madanes
How Teachers Plan
Graduate School of Education
University of California, Berkeley

Karen Mapp
How Parents Make Meaning of Their Involvement in School/Family Partnerships
Graduate School of Education
Harvard University

Daniel McFarland
Student Engagement in the High School: Exploring the Determinants of Student Resistance to Learning
Department of Sociology
University of Chicago

Leslie Morrison
The Role of Protective Factors in Supporting a Successful Middle School Transition for Poor African-American Early Adolescents
School of Education
University of Michigan

Na'ilah Nasir
"All Money Ain't Good Money:" The Development of Strategy and Arithmetical Understandings in the Game of Dominoes
Graduate School of Education and Information Studies
University of California, Los Angeles

Meredith Phillips
Early Inequalities: The Production of Ethnic Differences in Academic Achievement During Childhood
Department of Sociology
Northwestern University

Brian Platt
School, Community and State Building in Nineteenth-Century Japan
Department of History
University of Illinois at Urbana-Champaign

Lisa Rosen
Multiplying Divisions: The Cultural Underpinnings of Debates on Education
Department of Anthropology
University of California, San Diego

Reed Stevens
Disciplined Perception: Comparing the Development of Embodied Mathematical Practices at Work and School
Graduate School of Education
University of California, Berkeley

NATIONAL ACADEMY OF EDUCATION/ SPENCER POSTDOCTORAL FELLOWS

John Tyler

Estimating the Effect of the GED on the Earnings of Dropouts Using a Series of Natural Experiments
Graduate School of Education
Harvard University

Karolyn Tyson

Social Influence and the Process of Schooling: An Examination of the Creation and Perpetuation of Social Inequality at the Primary Level
Department of Sociology
University of California, Berkeley

Ingrid Vargas

Humanizing Liberalism: A Social and Intellectual History of Teachers and Public Education in Costa Rica, 1900-1930
Department of History
Rutgers University

Kathryn Walbert

New South, New Women: Southern Women Teachers and Changing Female Identities, 1865-1890
Department of History
University of North Carolina at Chapel Hill

John Warren

A Life-Course Perspective on Changes in the Effects of Family Background, Education, and Ability on Occupational Attainment
Department of Sociology
University of Wisconsin-Madison

Gary Wilder

Subject-Citizens: Negritude, Colonial Humanism, and the Imperial Nation-State in France Between the Wars
Departments of Anthropology and History
University of Chicago

The Spencer Dissertation Fellowship Program is administered by the Spencer Foundation. Inquiries may be directed to: Spencer Dissertation Fellowship Program, The Spencer Foundation, 900 North Michigan Avenue, Suite 2800, Chicago, IL 60611-1542.

Sheila Aikman

The Contradictions of Intercultural Education in the Peruvian Amazon
Institute of Education
University of London

Barbara Applebaum

Raising Awareness of Dominance: Removing the Obstacles
Ontario Institute for Studies in Education
University of Toronto

Ron A. Astor

Children's, Parents', and Teachers' Reasoning about Poverty and Violence in School and Neighborhood Contexts
School of Education and School of Social Work
University of Michigan

Robert J. Bayley

Family Language Use, Bilingual Development, and Adaptation to Schooling in Two Mexican-Origin Communities
College of Social and Behavioral Sciences
University of Texas at San Antonio

David J. Chard

Discourse-intensive Mathematics Classrooms and Students with Learning Disabilities
School of Education
Boston University

Susan L. Dauber

Parents' Responses to School Failure: Exit and Voice in Chicago Public Schools
National Opinion Research Center
University of Chicago

Michael S. David-Fox

Universities Under Stalinism: From Assault to Transformation, 1928-1934
Department of History
University of Maryland at College Park

Gedeon O. Deak

How Children Learn Systems of Words: Understanding and Facilitating the Acquisition of Semantic Relations
Peabody College of Education
Vanderbilt University

E. Thomas Ewing

The Teachers of Stalinism: Schooling and Soviet Political Culture in the 1930s
Department of History
DePauw University

David John Frank

Planting and Following Disciplinary Fields: Worldwide Shifts in University Curricula, 1915-1995
Department of Sociology
Harvard University

Juan C. Guerra

Bridges and Barriers: A Bi-national Study of Schooling and the Mexican Immigrant Family
Department of English
University of Washington

Kathleen D. Hall

Becoming British Sikhs: The Politics of Identity and Difference in England
Graduate School of Education
University of Pennsylvania

Caroline E. Heller

Reading and the Reconstruction of Possibility: The Role of Literature in the Post War Lives of Holocaust Survivors
College of Education
University of Illinois at Chicago

Yasmin B. Kafai

Expanding Communities of Learners from Schools into Homes: Collaborative Software Game Activities for Mathematical Learning
Graduate School of Education and Information Studies
University of California, Los Angeles

Judy R. Kalman

Literacy in the Struggle to Survive: A Study of Literacy Learning and Use in a Community Education Project for Underschooled (and Unschooled) Women in Mexico City
Departamento de Investigaciones Educativas
Centro de Investigacion y Estudios Avanzado del Instituto Politécnico Nacional

Peter N. Kiang

Analyzing the Development of Asian-American Youth Leadership
Graduate College of Education and American Studies Program
University of Massachusetts Boston

Jens O. Ludwig

Neighborhoods, Schools, and Urban Education: Evidence from a Randomized Experiment
Georgetown Public Policy Institute
Georgetown University

**NAE/Spencer
Postdoctoral
Fellows**

Iona D. Man-Cheong
*Education, Ideology, and the State in
Late Imperial China: The 1761
Metropolitan Examination*
Department of History
State University of New York at
Stony Brook

Suzanne B. Mettler
*The G.I. Bill of Rights of 1944 and
American Citizenship*
Department of Political Science
Syracuse University

Michael A. Mintrom
*Curriculum Decision Making in
Charter Schools: Exploring the
Linkage between Educational
Research and Practice*
Department of Political Science
Michigan State University

Katharyne W. Mitchell
*Education, Democracy and
Citizenship in the Late Twentieth
Century*
Department of Geography
University of Washington

Elizabeth B. Moje
*"Graffiti is a State of Mind and a
Sign of Respect:" The Literacy
Practices of "Gangsta" Adolescents*
School of Education
University of Michigan

David E. Penner
*Reasoning about Emergent
Phenomena*
School of Education
University of Wisconsin-Madison

Elizabeth R. Rose
*Sororities, Sisterhood, and Feminism:
An Interpretive History*
Department of History
Vanderbilt University

Annette M. Sassi
*Developing Improvisational
Perception: The Case of Facilitating
the "Developing Mathematical Ideas"
(DMI) Curriculum*
Center for the Development of
Teaching
Education Development Center

Priti Shah
*Expert-Novice Studies of Graph
Interpretation: Implications for
Teaching Graphical Literacy*
Department of Psychology
University of Memphis

Alexander Sidorkin
Monologism and Education
College of Education
University of Washington

Linda L. Sperry
*Fear, Fantasy, and Power in an
African-American Community:
Consequences for the Development of
Representational Thought*
School of Education
Indiana State University

Stanley C. Trent
*Tracing the Discourse while Living
the Process of Special Education
Reform: Sustaining a Collaborative
Community in an Urban Elementary
School*
Curry School of Education
University of Virginia

Keith Whitescarver
When the South Learned to Read
College of Education
Ohio University

The Spencer Postdoctoral
Fellowship Program is adminis-
tered by the National Academy of
Education through a grant made
in the 1998 fiscal year by the
Spencer Foundation for \$4,921,000
over three years. Inquiries may be
directed to: National Academy of
Education, Spencer Fellowship
Program, Stanford University,
School of Education, CERAS - 108,
Stanford, CA 94305-3084.

**SPENCER FELLOWS AT THE CENTER FOR
ADVANCED STUDY IN THE BEHAVIORAL
SCIENCES**

Micheline Chi
*Learning Compatible and
Incompatible Complex Concepts*
Learning Research and
Development Center
University of Pittsburgh

Kurt VanLehn
*Tutoring By Humans and By
Machines*
Learning Research and
Development Center
University of Pittsburgh

Fellowship awards are adminis-
tered by the Center for Advanced
Studies in the Behavioral Sciences
through a grant made in the 1994
fiscal year by the Spencer
Foundation of \$900,000 over five
years for support of Fellows.
Inquires may be directed to:
Director, Center for the Advanced
Study in the Behavioral Sciences,
202 Junipero Serra Boulevard,
Stanford, CA 94305.

SPENCER SENIOR SCHOLARS

Ann L. Brown
Psychological Theory and Educational Reform: From the Committee of Ten to the Bush Initiatives
Graduate School of Education
University of California,
Berkeley/Harvard University
1992

Courtney B. Cazden
Writing Development and Instruction in the English-Writing World
Graduate School of Education
Harvard University
1991

Michael Cole
Creating and Sustaining New Forms of Educational Activity in Community Settings
Department of Communication
University of California, San Diego
1995

Carol Gilligan
The Psychology of Women and the Development of Girls
Graduate School of Education
Harvard University
1990

Paul T. Hill
A Long-Term Inquiry into the Hidden Curricula of K-12 Schools
Institute for Public Policy and Management
University of Washington
1994

Sara Lawrence-Lightfoot
Crossing Boundaries and Forging Relationships: The Art and Science of Portraiture
Graduate School of Education
Harvard University
1995

James G. March
Organizational Learning
Graduate School of Business
Stanford University
1995

Richard J. Murnane
Economic Analysis to Improve Education
Graduate School of Education
Harvard University
1996

Gary Orfield
Education and Equity in Metropolitan Society: Trends, Causes, and the New Policy
Graduate School of Education
University of Chicago/Harvard University
1989

Alejandro Portes
Growing Up American: The Study of the New Second Generation
Department of Sociology
Princeton University
1997

Lee S. Shulman
Toward a Pedagogy of Substance
School of Education
Stanford University
1990

David Bruce Tyack
Purposes, Policies, and Politics in American Education
School of Education
Stanford University
1996

Multi-year Senior Scholar Grants are awarded to distinguished educational researchers at the invitation of the Foundation.

RESEARCH TRAINING GRANTS

Teachers College,
Columbia University
New York, New York

Graduate School
of Education
Harvard University
Cambridge, Massachusetts

College of Education
Michigan State University
East Lansing, Michigan

School of Education
Stanford University
Stanford, California

Graduate School of
Education
University of California,
Berkeley
Berkeley, California

Graduate School of
Education and Information
Studies
University of California,
Los Angeles
Los Angeles, California

School of Education
University of Michigan
Ann Arbor, Michigan

Graduate School of
Education
University of Pennsylvania
Philadelphia, Pennsylvania

School of Education
University of Wisconsin-
Madison
Madison, Wisconsin

The Research Training Program supports research training in the field of education. In the 1997 fiscal year The Spencer Foundation made grants to nine institutions ranging from \$900,000 to \$2 million; the total amount awarded to all institutions was \$11.2 million.

AMERICAN EDUCATIONAL RESEARCH
ASSOCIATION/SPENCER DOCTORAL
RESEARCH FELLOWS

M. Christopher Brown, II
Defining Collegiate Desegregation: The Quest for a Legal Standard of Compliance After Adams
Department of Education
Policy Studies
Pennsylvania State University

James Coaxum, III
A Taxonomy for Historically Black Colleges and Universities
Department of Educational Leadership
Vanderbilt University

Christine L. Diehl
Promoting Social Reasoning in the Classroom With "Convince Me"
Department of Education in Mathematics, Science, and Technology
University of California, Berkeley

Marissa Echevarria
Science Content and Process at the Junior High Level
Department of Educational Psychology and Statistics
State University of New York at Albany

Simon I. Guteng
Professional Concerns of Beginning Special Education Teachers
Department of Special Education and Rehabilitation
University of Arizona

Denise Kiona Henning
American Indian Doctoral Completion: A Contemporary Indian War
Department of Educational Management and Development
New Mexico State University

Lori Ann Kurth
Gender and Cultural Aspects of Students' Science Talk and How These Factors Influence Students' Inclusion and Identity in Classroom Discourse
Department of Teacher Education
Michigan State University

Alice Lesnick
Written Lives: An Interpretive Study of the Ethical Dimensions of Students' Transactions With Literature in Two English Classrooms
Language in Education Division
University of Pennsylvania

Michele Moses
Justice in Education: A Philosophical Defense of Race-Conscious Educational Policy
School of Education and Department of Philosophy
University of Colorado at Boulder

Nora Amavisca Reyes
The Professional Socialization of Beginning Bilingual Teachers
Department of Curriculum and Instruction
Arizona State University

Lisa Rosen
The Micro-Politics of Controversy Over Mathematics Education in California
Department of Anthropology
University of California, San Diego

Carol Anne Spreen
Schools as Laboratories for Social Transformation: Mapping Multicultural Educational Borrowing in South Africa
Teachers College
Columbia University

Catherine E. Wycoff
Non-School Educational Experiences of Immigrants and African Americans During the Interwar Period
Department of Educational Policy Studies
University of Illinois at Urbana-Champaign

AMERICAN EDUCATIONAL RESEARCH ASSOCIATION/
SPENCER DOCTORAL RESEARCH TRAVEL GRANTEES

Helene Alpert Furani
Young Toddlers' Mathematical Thinking and Reasoning
Department of Teacher Education
Michigan State University

Kathleen Hogan
Thinking Aloud Together: A Test of an Intervention to Foster Middle School Students' Collaborative Scientific Reasoning
Department of Educational Psychology and Statistics
State University of New York at Albany

Scott F. Marion
Psychometric Concerns When Measuring Advanced Knowledge
School of Education
University of Colorado at Boulder

The American Educational Research Association/Spencer Doctoral Research Fellowship and Travel Grant Program is administered by the American Educational Research Association (AERA) through a grant of \$1,250,000 made in the 1997 fiscal year by the Foundation. Inquiries may be directed to: AERA/Spencer Doctoral Research Fellowship Program, The American Educational Research Association, 1230 17th Street NW, Washington, DC 20036.

SPENCER MENTOR NETWORK AWARDS

Charles T. Clotfelter
Terry Sanford Institute of Public
Policy
Duke University

Andrea A. diSessa
Graduate School of Education
University of California, Berkeley

Louis M. Gomez
School of Education and Social
Policy
Northwestern University

Kris D. Gutierrez
Graduate School of Education &
Information Studies
University of California, Los
Angeles

Jennifer L. Hochschild
Woodrow Wilson School of Public
& International Affairs
Princeton University

Dorothy Ross
Department of History
Johns Hopkins University

Catherine E. Snow
Graduate School of Education
Harvard University

Members of the Spencer Mentor
Network receive, at the invitation
of the Foundation, \$50,000 over
two years to support doctoral
students engaged in research on
educational issues.

OTHER GRANTS

Jesse H. Ausubel
CyberCampus Design Project
Alfred P. Sloan Foundation
\$25,000 over one year

John S. Ayers
Charter School Support Project
Leadership for Quality Education
\$25,000 over three months

Frank F. Furstenberg, Jr. and
Herbert P. Ginsburg
Continuing support for the seminar
participants at the Center for
Advanced Study in the Behavioral
Sciences
Department of Sociology
University of Pennsylvania
\$25,000 over ten months

Sue Hansen-Smith
Support for the Fourth International
Conference on Teacher Research
National-Louis University
\$7,500 over one month

Frederick E. Hoxie
Postdoctoral Fellowships in the
History of Education
Newberry Library
\$185,000 over four years

Anne C. Kubisch
Continued support for the
Roundtable on Comprehensive
Community Initiatives for Children
and Families
The Roundtable on
Comprehensive Community
Initiatives for Children & Families
The Aspen Institute
\$25,000 over one year

Linda Lenz
Support for Catalyst: A series on
school reform in Chicago
Community Renewal Society
\$15,000 over one year

Valerie S. Lies
Conference and dissemination
activities on Chicago school reform
Donors Forum of Chicago
\$25,000 over one year

John Merrow
Radio Forums on Current Issues in
Educational Research
Learning Matters, Inc.
\$241,000 over two years

Katherine K. Merseth
Support for the planning of a
Fellowship Program in Evaluation of
Programs for Children
Harvard Project on Schooling
and Children
Harvard University
\$29,500 over six months

Kenneth Rolling and
Mark A. Smylie
Evaluation of the Chicago
Annenberg Challenge
Chicago Annenberg Challenge
\$320,000 over five years

Carol H. Weiss and
Joseph P. Newhouse
Post-Doctoral Fellowships in
Evaluating Programs for Children
Harvard Project on Schooling and
Children
Harvard University
\$720,600 over four years

GRANTS IN PROGRESS

Karl L. Alexander and Doris R. Entwisle
Disengagement and Dropout: A Study of the Long-Term Process that Leads to Early Withdrawal from School
Department of Sociology
Johns Hopkins University
\$410,000 in 1994

John P. Allen, Myriam Shechter, and C. Gordan Wells
Extending Learning Through Talk
Ontario Institute for Studies in Education
University of Toronto
\$285,000 in 1995

Joseph P. B. Allen
Extra-Curricular Influences on Paths into and out of Academic Difficulties Among At-Risk Adolescents
Department of Psychology
University of Virginia
\$238,900 in 1995

Albert R. Bandura
Impact of Self-Efficacy on Trajectories of Social and Academic Development
Department of Psychology
Stanford University
\$176,440 in 1994

Isabel L. Beck and Margaret G. McKeown
Transforming Knowledge into Tangible Resources to Support Pedagogical Change
Learning Research and Development Center
University of Pittsburgh
\$296,810 in 1996

Vern L. Bengtson
Generation X and Their Elders: Intergenerational Influences on Educational and Occupational Attainment Over Four Generations
Ethel Percy Andrus Gerontology Center
University of Southern California
\$257,900 in 1996

Carl Bereiter
The Development of Teachers Engaged in Collaborative Strategy Instruction with Inner-City Adolescent Delayed Readers
Ontario Institute for Studies in Education
University of Toronto
\$321,200 in 1994

Paul Bloom
Syntactic Support in Word Learning
Department of Psychology
University of Arizona
\$321,700 in 1993

Georges Bordage
Assessing Medical Students' Diagnostic and Semantic Competence During Case Presentations: Studies of Reliability, Validity, and Feasibility
Department of Medical Education
University of Illinois at Chicago
\$297,150 in 1995

Jerome Bruner
Meaning Making in Context
School of Law
New York University
\$377,250 in 1995

Anthony S. Bryk
Renewal: The Consortium on Chicago School Research
Department of Education
University of Chicago
\$619,800 in 1995

Alan S. Chartock
Dissemination of Educational Research
WAMC Public Radio
\$214,100 in 1995

Micheline T. H. Chi
Self-Construction and Co-Construction of Explanations During Tutoring
Learning Research and Development Center
University of Pittsburgh
\$174,500 in 1995

Marilyn Cochran-Smith and Susan L. Lytle
Teacher Inquiry and the Epistemology of Teaching
School of Education
University of Pennsylvania
\$256,700 in 1993

Philip A. Cusick
The Michigan English Language Arts Framework Project: A Longitudinal Case Study of Reforming the System
Department of Educational Administration
Michigan State University
\$79,300 in 1996

Michael David-Fox
Academia in Upheaval: The Origins and Demise of the Communist Academic Regime in Russia and East Central Europe
Department of History
University of Maryland at College Park
\$60,000 in 1996

David K. Dickinson
Examining and Changing Discourse Environments in Preschool Classrooms
Family, School, and Community Division
Education Development Center, Inc.
\$299,700 in 1996

Anne H. Dyson
Sociocultural Diversity and Literacy Development in Urban Primary Schools
School of Education
University of California, Berkeley
\$125,000 in 1994

Mary Ann Dzuback
Women Social Science Scholars in the Academy, 1890-1940
Department of Education
Washington University
\$132,700 in 1995

Jacquelynne S. Eccles and Bonnie L. Barber
Passages Through Adolescence: Implications for Educational Outcomes
Institute for Social Research
University of Michigan
\$312,500 in 1995

Marcia Farr
Language, Literacy and Gender: Oral Traditions and Literacy Practices among Mexican Immigrant Families
Department of English
University of Illinois at Chicago
\$265,150 in 1995

Michelle Fine (joint research project with Lois Weis at SUNY at Buffalo)
Sites of Possibility in Urban America
Graduate School and University Center
City University of New York
\$274,545 in 1996

William A. Firestone
District Responses to State Alternative Assessments
Graduate School of Education
Rutgers University
\$262,500 in 1995

Robert K. Fullinwider
Multicultural Education as Moral Education
Institute for Philosophy and Public Policy
University of Maryland at College Park
\$86,500 in 1995

Grants in
progress

- Karen C. Fuson
Supporting Urban Latino Children's Constructions of Arithmetical Understandings by Using Parent Tutors in the School
School of Education and Social Policy
Northwestern University
\$313,000 in 1994
- Ellen Galinsky
The Florida Quality Improvement Study
Families and Work Institute
\$289,650 in 1994
- Karen Gallas, Iris Feldman, Linda Goldman, and Anne Martin
Teacher-Initiated Professional Development: The Lawrence School Teacher Study Groups
Brookline Public Schools
\$94,620 in 1996
- James Paul Gee and Sarah Ann Michaels
Talk, Text, and Identity: Understanding Teaching and Learning in a Post-Progressive Science Program
Jacob Hiatt Center for Urban Education
Clark University
\$300,310 in 1996
- Roger L. Geiger
Dynamics of Institutional Change in Higher Education: American Colleges and Universities in the Nineteenth Century
Department of Higher Education
Pennsylvania State University
\$42,750 in 1994
- Claudia Goldin
The Making of Educated Americans: The Rise of the American High School and its Economic Consequences, 1890-1970
National Bureau of Economic Research
Harvard University
\$102,725 in 1996
- Susan Goldin-Meadow
Gesture-Speech Mismatch as an Educational Tool: Using the Hand to Read the Mind
Department of Psychology
University of Chicago
\$219,475 in 1994
- Artin Goncu
Cultural Variations in the Play of Young Children
College of Education
University of Illinois at Chicago
\$185,200 in 1992
- Usha Claire Goswami
Factors Influencing the Use of Analogical Reasoning by Young Children
Institute of Child Health
University College, London
Medical School
\$111,100 in 1996
- James G. Greeno
Processes of Conceptual Learning During Conversational Discourse
School of Education
Stanford University
\$396,900 in 1995
- Sara Harkness and Charles M. Super
Parental Ethnotheories, Cultural Practices, and the Transition to School
School of Family Studies
University of Connecticut
\$442,650 in 1995
- Shirley Brice Heath and Milbrey W. McLaughlin
Learning for Anything Everyday: The Role of Neighborhood-Based Organizations for Youth
Department of English
Stanford University
\$441,400 in 1994
- James J. Heckman
The Value of Certifying Skills: A Case Study of the GED
Department of Economics
University of Chicago
\$216,900 in 1995
- George Hillocks, Jr.
How State Assessments Influence Curricular Content and Classroom Practice: The Case of Writing
Department of Education
University of Chicago
\$278,200 in 1995
- A. Michael Huberman
The Conceptual Effects of Disseminating Research-Based Knowledge to Educational Professionals
Graduate School of Education
Harvard University
\$163,600 in 1994
- Philip W. Jackson
Teaching and Learning through the Arts: A Post-Deweyan Perspective
Department of Education
University of Chicago
\$184,500 in 1994
- Jerry A. Jacobs
Gender and the College Curriculum
Department of Sociology
University of Pennsylvania
\$169,475 in 1996
- Thomas James
Reconstructing State School Systems: The Case of Kentucky
School of Education
New York University
\$350,000 in 1993
- Morton Keller and Phyllis Keller
Success and Its Discontents: Harvard and Higher Education in America, 1936-1995
Department of History
Brandeis University
\$228,650 in 1995
- Amy Kyratzis
Gender, Peer Groups, and Social Identity in the Preschool
Department of Education
University of California, Santa Barbara
\$55,200 in 1996
- Ellen Condliffe Lagemann
The Social History of Educational Research in the United States from the 1860s to the 1960s
School of Education
New York University
\$368,450 in 1987
- Magdalene Lampert
Practices of Teaching and Learning Authentic Mathematics for Understanding in School
School of Education
University of Michigan
\$345,000 in 1992
- Annette P. Lareau
Managing Childhood: Social Class and Race Differences in Parents' Management of Children's Organizational Lives
Department of Sociology
Temple University
\$259,300 in 1992
- Carol D. Lee
Cultural Modeling in Reading Comprehension: Implications for Teacher and Student Cognition
School of Education and Social Policy
Northwestern University
\$136,250 in 1996

Grants in
progress

- Howard B. London and
Kathleen M. Shaw
*Cultures of Success: A Study of
Community Colleges with High
Transfer Rates*
Department of Sociology
Bridgewater State College
\$130,300 in 1996
- Sally Lubeck
*Measuring the Construct of "Social
Context" in Preschool Programs for
Economically Disadvantaged
Children*
School of Education
University of Michigan
\$137,100 in 1996
- Dan P. McAdams
Generativity in Black and White
School of Education and
Social Policy
Northwestern University
\$367,200 in 1995
- G. Williamson McDiarmid
*Teachers in Charge: A Study of
Kentucky Teachers' Professional
Development Plans*
National Center for Research on
Teacher Learning
Michigan State University
\$150,000 in 1996
- David McNeill
*Children's Representation of
Motion Events*
Department of Psychology
University of Chicago
\$418,400 in 1996
- James M. McPartland,
Edward McDill, Douglas
MacIver, and Will J. Jordan
*Student Absenteeism in Middle
School and High School: Problem
Sources and Solutions*
Center for Social Organization of
Schools
Johns Hopkins University
\$303,500 in 1995
- John Modell
*Schooling and School Learning in
Children's Lives: A Comparative
Developmental Study Employing
IEA Data*
Department of History
Carnegie Mellon University
\$189,300 in 1995
- Donald R. Moore
*Partial Support of the School
Community Standards Project
Designs for Change*
\$390,000 in 1996
- Diana C. Mutz
*The Company of Strangers: Social
Context and the Public Sphere*
Department of Political Science
University of Wisconsin-Madison
\$79,500 in 1996
- Anat Ninio
*The Acquisition of Dependency
Grammar*
Department of Psychology
Hebrew University of Jerusalem
\$218,775 in 1996
- Jody D. Nyquist, Donald
Wulff, Ann Austin, and Jo
Sprague
*The Development of Graduate
Students as Prospective Teaching
Scholars: A Longitudinal Research
Project*
Instructional Development and
Research
University of Washington
\$254,450 in 1996
- Mary C. O'Connor
*Teacher Discourse in Middle School
Mathematics Classrooms*
School of Education
Boston University
\$212,500 in 1996
- Elinor Ochs
*The Collaborative Construction of
Scientific Knowledge in a University
Physics Laboratory*
Department of TESL & Applied
Linguistics
University of California,
Los Angeles
\$274,625 in 1994
- David R. Olson
Belief in Education
Ontario Institute for Studies
in Education
University of Toronto
\$167,000 in 1995
- Lucinda Pease-Alvarez and
Kenji Hakuta
*Language Maintenance and Shift in
Early Adolescence*
Board of Studies in Education
University of California,
Santa Cruz
\$187,500 in 1995
- David M. Post, Leif I. Jensen,
David G. Abler, and Dennis
P. Hogan
*Family Welfare and Children's
Schooling: A Study of Chile, Peru,
and Mexico*
Department of Administration,
Policy, and Comparative
Education
Pennsylvania State University
\$269,350 in 1995
- Barbara Rogoff
*Development in Individual, Group,
and Cultural Activity:
Transformations as New Members
Participate in an Innovative School*
Department of Psychology
University of California,
Santa Cruz
\$93,100 in 1995
- James E. Rosenbaum
*Survey of the Long-Term Effects of
Residential Mobility on Low-Income
Black Youth*
Institute for Policy Research
Northwestern University
\$503,000 in 1996
- Michael Rosenthal
*Biography of Nicholas Murray
Butler, President of Columbia from
1902-1945*
Department of English and
Comparative Literature
Columbia University
\$93,000 in 1996
- Robert M. Sellers
*Institutional and Programmatic
Factors Associated with College
Student-Athletes' Academic Success
and Failure*
Department of Psychology
University of Virginia
\$265,200 in 1995
- Theodore R. Sizer, James P.
Comer, Howard E. Gardner,
and Janet Whitla
*Partial Support of the Design and
Development Working Party of the
ATLAS Project*
Coalition of Essential Schools
Brown University
\$1,500,000 in 1994
- Susan S. Stodolsky and
Pamela Grossman
*Subject Matter as a Context for High
School Teaching*
Department of Education
University of Chicago
\$213,900 in 1992
- Christopher A. Stray
*The Shaping of a Discipline: Classics
in Cambridge, 1822-1914*
Department of Classics and
Ancient History
University of Wales, Swansea
\$101,100 in 1996
- Rosamund Sutherland and
Maria Teresa Rojano
*Mexican/British Project on the Role
of Spreadsheets within School-Based
Mathematical Practices*
School of Education
University of London
\$132,120 in 1994

Grants in
progress

- | | | |
|---|--|--|
| <p>Patricia M. Thane
<i>Oral History of Higher Educated Women in Britain 1920s-1970s</i>
School of Social Sciences
University of Sussex
\$157,600 in 1995</p> | <p>Beth Warren, Anne S. Roseberry, and Cynthia Ballenger
<i>Understanding Learning in Teacher Researcher Communities</i>
Technical Educational Research Center (TERC)
\$240,000 in 1995</p> | <p>Allan Wigfield
<i>Children's Competence Beliefs, Achievement Task Values, and General Self-Esteem</i>
Department of Human Development
University of Maryland at College Park
\$37,000 in 1995</p> |
| <p>Michael Tomasello
<i>Joint Attention and the Emergence of Language</i>
Department of Psychology
Emory University
\$113,800 in 1995</p> | <p>Douglas R. Weiner
<i>"Curiosity For Its Own Sake:" Boris Evgen'evich Raikov and the Problem of Soviet Science Education in the 1920s</i>
Department of History
University of Arizona
\$52,800 in 1996</p> | <p>Samuel S. Wineburg
<i>Historical Sense-Making: An Intergenerational Study</i>
College of Education
University of Washington
\$156,800 in 1995</p> |
| <p>Thomas R. Trabasso
<i>Talking Aloud During Reading Comprehension</i>
Department of Psychology
University of Chicago
\$429,100 in 1994</p> | <p>Lois Weis (joint research project with Michelle Fine at CUNY)
<i>Sites of Possibility in Urban America</i>
Department of Educational Organization, Administration, and Policy
State University of New York at Buffalo
\$312,455 in 1996</p> | <p>Kenneth Zeichner and Cathy Caro-Bruce
<i>The Nature and Impact of an Action Research Program for Teachers and Principals in one Urban School District</i>
University of Wisconsin-Madison/Madison Metropolitan School District
\$79,000 in 1996</p> |
| <p>Pamela B. Walters
<i>Private Interests and Public Voices: Organizations, Group Mobilization, and the Politics of Public Education, 1880-1920</i>
Department of Sociology
Indiana University at Bloomington
\$269,450 in 1995</p> | | |

GRANTEE PUBLICATIONS RECEIVED

- Ascher, Carol; Norm Fruchter; and Robert Berne
Hard Lessons: Public Schools and Privatization
New York: The Twentieth Century Fund Press, 1996
- Brint, Steven
In an Age of Experts: The Changing Role of Professionals in Politics and Public Life
Princeton, NJ: Princeton University Press, 1996
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Kingston, ON: Queen's University, 1996
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Thousand Oaks, CA: Corwin Press, Inc., 1996
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New York: The Guilford Press, 1996
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The Once and Future School: Three Hundred and Fifty Years of American Secondary Education
New York: Routledge, 1996
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Going Comprehensive in England and Wales: A Study of Uneven Change
London and Portland, OR: The Woburn Press, 1996
- Knupfer, Anne Meis
Toward a Tenderer Humanity and a Nobler Womanhood: African American Women's Clubs in Turn-of-the-Century Chicago
New York and London: New York University Press, 1996
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Washington, D.C.: The Brookings Institute, 1996
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Binghamton, NY: Vail-Ballou Press, 1996
- Nie, Norman H.; Jane Junn; and Kenneth Stehlik-Barry
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Chicago, IL: University of Chicago Press, 1996
- Olson, David R. and Nancy Torrance (Eds.)
The Handbook of Education and Human Development: New Models of Learning, Teaching and Schooling
Cambridge, MA: Blackwell Publishers Inc., 1996
- Orfield, Gary; Susan E. Eaton; and the Harvard Project on School Desegregation
Dismantling Desegregation: The Quiet Reversal of Brown v. Board of Education
New York: The New Press, 1996
- Plank, David N.
Means of Our Salvation: Public Education in Brazil 1930-1955
Boulder, CO: Westview Press, 1996
- Portes, Alejandro and Ruben G. Rumbaut
Immigrant America: A Portrait
Berkeley, CA: University of California Press, 1996
- Rich, Wilbur C.
Black Mayors and School Politics
New York and London: Garland Publishing Inc., 1996
- Rivera-Batiz, Francisco L. and Carlos E. Santiago
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New York: Russell Sage Foundation, 1996
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Beyond the Classroom: Why School Reform Has Failed and What Parents Need To Do
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Exposing Prejudice: Puerto Rican Experiences of Language, Race, and Class
Boulder, CO: Westview Press, Inc., 1996
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Their Highest Potential: An African American Community in the Segregated South
Chapel Hill, NC: University of North Carolina Press, 1996
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Greenwich, CT: JAI Press Inc., 1996
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Educational Change and Social Transformation: Teachers, Schools and Universities in Eastern Germany
London and Washington, D.C.: Falmer Press, 1996

These books were received at the Foundation during the 1997 fiscal year and result from work wholly or partially supported by the Spencer Foundation.

REPORT OF THE TREASURER

On March 31, 1997, the assets of the Spencer Foundation totaled \$359 million. These assets are invested primarily in equities actively managed by Cedarpoint Capital Management, New York; and in S & P 500 and EAFE indexed equity funds managed by State Street Bank, Boston. The Finance and Audit Committee of the Board of Directors, assisted by the Treasurer and Controller, oversees the performance of the Foundation's investments, convening regularly (at meetings to which all Directors are invited) to review investment results, to discuss investment policy, and to set the asset allocation policy. The Northern Trust Company is custodian bank. A complete list of the Foundation's assets is available for inspection at the Foundation.

The Foundation made its first distributions

in 1971 and through March 31, 1997 has authorized grants and fellowships of \$182 million, of which \$21.9 million remains payable in future fiscal years. During the 1997 fiscal year, the foundation made payments on grants and fellowships totaling \$14.9 million, and the Board of Directors anticipates making grants at approximately the same level through the 1998 fiscal year. The audited financial statements of the Spencer Foundation begin on page 36.



John H. Barcroft
Treasurer
March 31, 1997

INDEPENDENT AUDITORS' REPORT

Board of Directors
The Spencer Foundation
Chicago, Illinois

We have audited the accompanying statements of financial position of The Spencer Foundation (an Illinois not-for-profit corporation) as of March 31, 1997 and 1996, and the related statements of activities and cash flows for the years then ended. These financial statements are the responsibility of the Foundation's management. Our responsibility is to express an opinion on these financial statements based on our audits.

We conducted our audits in accordance with generally accepted auditing standards. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial

statements. Our procedures included obtaining confirmation of securities owned, as of March 31, 1997 and 1996, by correspondence with the custodians. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

In our opinion, such financial statements present fairly, in all material respects, the financial position of The Spencer Foundation as of March 31, 1997 and 1996, and the changes in its net assets and its cash flows for the years then ended in conformity with generally accepted accounting principles.

Deloitte & Touche LLP

DELOITTE & TOUCHE LLP
Chicago, Illinois
May 13, 1997

STATEMENTS OF FINANCIAL POSITION
MARCH 31, 1997 AND 1996
(Thousands of Dollars)

	1997	1996
ASSETS:		
Investments at quoted market value (Note 3) (cost: 1997-\$227,015; 1996-\$229,387)	\$ 356,028	\$ 312,318
Cash (including funds held by investment custodians: 1997 - \$2,218; 1996 - \$432)	2,437	2,462
Other assets:		
Accrued interest and dividends	153	144
Taxes refundable		114
Other	393	455
	<u> </u>	<u> </u>
Total Assets	359,011	315,493
LIABILITIES:		
Grants payable	21,879	11,418
Payable to brokers	173	506
Accounts payable and accrued expenses	350	291
Excise taxes payable	38	
	<u> </u>	<u> </u>
Total Liabilities	22,440	12,215
UNRESTRICTED NET ASSETS (Note 6)	\$ 336,571	\$ 303,278

See notes to financial statements.

STATEMENTS OF ACTIVITIES
YEARS ENDED MARCH 31, 1997 AND 1996
(Thousands of Dollars)

	1997	1996
REVENUE AND GAINS:		
Dividends	\$ 6,018	\$ 5,374
Interest	483	587
Realized gains	8,627	7,369
Increase in unrealized gains	46,082	56,997
Total revenue and gains	<u>61,210</u>	<u>70,327</u>
GRANTS AND OTHER EXPENSES:		
Grants authorized (Note 5)	24,775	8,603
Administrative expenses	2,273	1,972
Investment services	600	520
Excise taxes (Note 4)	269	110
Total grants and other expenses	<u>27,917</u>	<u>11,205</u>
INCREASE IN NET ASSETS	33,293	59,122
UNRESTRICTED NET ASSETS - Beginning of year	303,278	244,156
UNRESTRICTED NET ASSETS - End of year	\$ 336,571	\$ 303,278

See notes to financial statements.

STATEMENTS OF CASH FLOWS
YEARS ENDED MARCH 31, 1997 AND 1996
(Thousands of Dollars)

	1997	1996
CASH FLOWS FROM OPERATING ACTIVITIES:		
Increase in net assets	\$ 33,293	\$ 59,122
Adjustments to reconcile increase in net assets to net cash flows from operating activities:		
Gain on sale of investments	(8,627)	(7,369)
Unrealized gain on investments	(46,082)	(56,997)
Depreciation	127	70
Changes in assets and liabilities:		
Accrued interest and dividends	(9)	(48)
Taxes refundable	114	(77)
Other	62	1,104
Grants payable	10,461	4,121
Payable to brokers	(333)	1,997
Accounts payable and accrued expenses	59	(144)
Excise taxes payable	38	283
	<u> </u>	<u> </u>
Net cash flows from operating activities	(10,897)	2,062
CASH FLOWS FROM INVESTING ACTIVITIES:		
Purchases of investments	(24,010)	(31,829)
Proceeds from sales of investments	34,938	31,220
Capital expenditures	(56)	(246)
	<u> </u>	<u> </u>
Net cash flows from investing activities	10,872	(855)
INCREASE (DECREASE) IN CASH		
	(25)	1,207
CASH - Beginning of year	2,462	1,255
	<u> </u>	<u> </u>
CASH - End of year	<u>\$ 2,437</u>	<u>\$ 2,462</u>

See notes to financial statements.

NOTES TO FINANCIAL STATEMENTS YEARS ENDED MARCH 31, 1997 AND 1996

(Thousands of Dollars)

1. NATURE OF OPERATIONS

The Spencer Foundation ("Foundation"), organized in 1962, is the residuary legatee under the Will of Lyle M. Spencer, deceased. The Foundation was established to support research aimed at the improvement of education. Support is derived primarily from returns on the Foundation's investments.

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Estimates - The preparation of financial statements in conformity with generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities and disclosure of contingent assets and liabilities at the date of the financial statements, and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

Investments - Investments are carried at fair market value, net of deferred excise tax on net unrealized gains.

Grants - Grants are recorded in the accounts when authorized by the Board of Directors and unexpended funds awarded and subsequently returned are recorded when refunded by the grantees.

3. INVESTMENTS

Quoted market values are used to value investments other than index funds, which are carried based on fair values provided by the fund managers, and real estate, which is carried at "market value" provided by the real estate fund. Realized gains or losses are determined by comparison of cost, determined on a first-in, first-out basis, to proceeds from sales. Investment transactions are recorded in the accounts on the trade date. The cost of investment securities represents the amount paid for securities purchased, adjusted for accretion of discount or amortization of premium on bonds purchased. Dividends and interest income are recorded on the accrual basis.

The cost and fair market value of investments at March 31 were as follows:

	1997		1996	
	Cost	Market Value	Cost	Market Value
Index funds	\$ 137,319	\$ 209,509	\$ 138,032	\$ 182,108
Common stocks	84,768	145,158	85,768	127,127
Real estate funds	<u>4,928</u>	<u>3,994</u>	<u>5,587</u>	<u>4,773</u>
Total	<u>\$ 227,015</u>	358,661	<u>\$ 229,387</u>	314,008
Deferred federal excise tax		(2,633)		(1,690)
Total		<u>\$ 356,028</u>		<u>\$ 312,318</u>

4. TAXES

Excise Tax - The Foundation qualifies as a private foundation and, as a result, is subject to a federal excise tax of two percent on net investment income, as defined. If the average payout ratio for the past five years plus one percent of net investment income in the current year, as defined, is less than the current year's charitable distributions, federal excise tax is payable at one percent of net investment income, as defined. The Foundation paid federal excise tax of one percent in the years ended March 31, 1997 and 1996.

The quoted market value of investments was reduced by \$2,633 and \$1,690 at March 31, 1997 and 1996, respectively, representing the federal excise taxes which would become payable if the net unrealized gains were realized. The change in such deferred taxes is applied against the change in unrealized gains in the statements of activities.

A private foundation which does not distribute an amount equal to a minimum return on assets, as defined in the Internal Revenue Code, is subject to an excise tax of 15 percent on the income not so distributed. Distributions in any year in excess of the amount required may be carried forward to future years and be applied against the required distribution.

Income Tax - The Foundation is a not-for-profit organization in the state of Illinois and is exempt from federal income tax under Section 501(c)(3) of the Internal Revenue Code.

5. GRANT COMMITMENTS

The Foundation has authorized but unpaid grants outstanding as of March 31, 1997 payable as follows:

Fiscal Year Ending March 31	
1998	\$ 7,493
1999	5,344
2000	4,485
2001	2,813
2002	1,744
Total	\$ 21,879

Payments on authorized but unpaid grants may be accelerated upon mutual agreement between the Foundation and the grantees.

6. UNRESTRICTED NET ASSETS

Unrestricted net assets are composed of the following amounts:

	1997	1996
Principal	\$ 82,203	\$ 82,203
Cumulative excess of grants and other expenses over revenue (cumulative grants authorized of \$182,060 at March 31, 1997)	(82,910)	(61,494)
Cumulative net realized gains on sales of investments	208,265	199,638
Unrealized gains in investment portfolio	129,013	82,931
Total	<u>\$ 336,571</u>	<u>\$ 303,278</u>

7. PROFESSIONAL DEVELOPMENT PROGRAM

During the 1996 fiscal year, the Foundation established a joint venture Professional Development Research and Documentation Program (the "Program") with The John D. and Catherine T. MacArthur Foundation. The program provides grants for research in the area of professional development in schools and will provide a total of \$3,000 in grants over a four-year period. Based upon the terms of the agreement, the Foundation administers the program and contributes 25 percent of the total awards and 50 percent of administration costs. MacArthur provides the remaining 75 percent of total awards and 50 percent of administration costs. At March 31, 1997, the cash balance of the Foundation includes \$274 of funds advanced from The MacArthur Foundation not yet expended under the Program; the contra amount is included in accounts payable and accrued expenses.

8. RETIREMENT PLAN

The Foundation has a contributory annuity retirement plan in conjunction with the Teachers Insurance and Annuity Association of America ("TIAA-CREF") for which substantially all employees are eligible. Expenses related to the retirement plan approximated \$127 and \$116 in 1997 and 1996, respectively. The Foundation funds its pension costs on a current basis in accordance with TIAA-CREF requirements.