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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 (SRA), 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 M. Spencer established the foundation that bears his name in 1962. The Foundation received its major endowment following Spencer’s death in 1968 and began making grants in 1972. Since that time, the Foundation has authorized grants totaling approximately $318 million. Its assets as of March 31, 2003, were $335 million.

- Lyle M. Spencer liked to describe himself as “a businessman looking in over the rim of education.” 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.”
Lyle Spencer expressed these sentiments five years before the foundation bearing his name made its first grant. Now thirty years later, we have just completed a year of both celebration and change. Over the past three decades the Foundation has provided a consistent source of support for research and researchers in education schools and the social science disciplines on questions related to education and educational improvement. The Foundation’s investments during this time have focused on four primary areas – supporting research projects on education, assisting educational researchers at critical career points, exploring the relation of research to practice, and providing resources for research efforts that improve education in Chicago. We continued our work in each of these areas over the past year.

We started the year with a conference celebrating the 30 years of Spencer grant making. This conference brought together scholars, policy analysts, federal and state officials, educational practitioners, and journalists to discuss and debate needs and opportunities for education research. Topics included the Federal role in education research, problems facing urban school districts, how to improve the training of educational researchers, and how to better link research to practice. In many ways the conference served the functions of what the Foundation’s first president, H. Thomas James, referred to as a “brokerage institution.” Such an institution, according to James, “brings the policy maker and the scholar together for an extended period of time…to encourage them to make the problems and needs of one and the accumulated knowledge of the other mutually comprehensible.”

The year also began with a change in leadership at the Foundation. Ellen Condliffe Lagemann returned to the academy to assume the position of Dean at Harvard University’s Graduate School of Education. While awaiting her successor the Foundation continued to do what it does best – supporting the efforts of individuals and institutions engaged in education research. Spencer Major Research grants continued to fund outstanding research proposals from scholars in the field. The Foundation also supported promising young scholars through dissertation and post-doctoral fellowships. Convenings, like the 30th anniversary conference or through the group focused on the “Idea of Testing” (see page 18), continued the foundation’s effort to explore new areas of scholarship and action. The Foundation also sustained its efforts to support research to help improve education in Chicago, through a grant focused on evaluating the transformation of several large Chicago high schools into smaller schools to understand the influence this change has on teaching and learning. Despite the challenges associated with the fluctuating financial markets, the Foundation maintained a full grant making program, as has been the case for over 30 years, devoted to “investigating ways in which education can be improved.”

During the year, the Foundation’s Board of Directors focused its efforts on finding a new president who would embrace the traditions of the Foundation while also moving it forward. After an extensive search, the Directors announced the appointment of Michael S. McPherson as the fifth president of the Spencer Foundation. Mike comes to Spencer after serving as professor of economics and Dean of the Faculty at Williams College in Williamstown, Massachusetts, and after distinguished service as President of Macalester College in St. Paul,
Minnesota. His expertise is in higher education finance and the interplay of education, economics, and ethics. Mike brings to the Foundation a strong commitment to advancing the public good through high quality research on education.

The Foundation is proud of its accomplishments over the past year and indeed over the past three decades. As we work with President McPherson on future grantmaking, we must heed the concerns of Spencer’s third president, Patricia Albjerg Graham, who asked - “If there is need for improvement in American education, and few would deny that need, then what will bring about that improvement? Certainly ideas are one important source of improvement. While ideas alone cannot supplant money, they are a necessary though not a sufficient component of most reforms. Where will the ideas come from if research withers?” Indeed, it is with these sentiments that the Foundation must continue to play an essential role in investigating ways that education can be improved and in helping to broker this knowledge throughout the education community.

Paul D. Goren
Acting President
March 2003
The support of basic and applied research on education and related issues continues to be central to the mission of the Spencer Foundation. At present the Foundation supports two programs that accept proposals from the field: Major Research Grants and Small Research Grants. While both programs provide funding for research on education, each is distinctive in its mission and procedures. A brief description of the programs is provided below, along with basic information about application steps. To get an idea of the types of proposals that have found support in these programs, please consult the listing of projects funded in the past year. Additional information on application procedures and Spencer-funded research can be found on the Foundation's web site.

The longest-running and largest research grant program at Spencer is Major Research Grants, which has been in continuous operation since the Foundation’s beginning. In recent years the Major Research Grants Program has made awards totaling between six and eight million dollars annually, providing levels of support that typically range from less than $100,000 to just over $400,000 per grant. Last year the Foundation received nearly four hundred preliminary inquiries in this program, and from this we requested a much smaller number of full proposals. These invited proposals were carefully reviewed both internally and externally, and ultimately we were able to fund a small percentage of them. The Foundation strives to provide notice of funding decisions within six months of the receipt of full proposals, although we are constrained by the timing of Board meetings in some instances.

The Small Research Grants Program provides support to projects investigating education and related issues with budgets of $35,000 or less and lasting no longer than two years. In many cases these projects represent pilot studies or small scale research projects leading up to proposals for larger studies. The Small Research Grants program serves many younger scholars, and those at smaller institutions and schools. It is not necessary to send a preliminary inquiry before submitting a proposal to the Small Research Grants Program. In the past year we received about three hundred applications for these grants, but were able to provide funding for only about a fifth of them. Because of the relatively small scale of

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**MATHEMATICAL IDENTITY AND STUDENT LEARNING**

Can students’ mathematical identities help explain their different achievements in learning math? This question lies at the heart of Stanford Professor James Greeno’s research project which will study the development of students’ mathematical identities in two middle-school mathematics classrooms. As conceptualized by Greeno, mathematical identities refer to how individual students are situated in a classroom and in their participation in social and substantive interactions with their teacher(s) and other students. Greeno’s findings will contribute to recent research that examines characteristics of classroom learning practices. In addition, this work will also provide educators with methods for assessing the growth of students’ mathematical identities.

Data for the project will be collected from two middle-school mathematics classes, one mainly taught through discussion and open-ended tasks, the other taught mainly didactically. It will include classroom observations, interviews with students and teachers, supplementary assessments, and non-classroom observations. All of these data will be used by Greeno to produce a collection of case studies of the two math classes, their teachers, and selected students. The cases should demonstrate the range of possible mathematical identities that middle school mathematical classrooms afford students.
these projects, and the moderate length of the proposals, we attempt to provide funding decisions within a few months of receiving an application.

Proposals in either program should focus on noteworthy questions concerning education, human development, and related issues anywhere in the world. In evaluating a proposal, the clarity and significance of the central question often is of critical importance. The experience and potential of the investigators are significant as well. Proposed research strategies should be conceptually sound and carefully specified. The Spencer Foundation does not place any methodological or ideological limitations on the research that it supports. The Foundation is especially interested in ground-breaking and creative ideas in research. Given this, we stand ready to consider any and all types of scholarly inquiry, and we rely heavily upon reviews by specialists in relevant fields to inform funding decisions. In recent years, both of the Foundation’s principal research grants programs have provided support to a diverse mixture of quantitative and qualitative studies, addressing a host of topics connected to education.

One of the Foundation’s continuing goals is to sustain communication with its various constituencies. We hope that you will feel free to call or write us with any questions or concerns that you may have about the research programs. The Major Research Grants office can be reached at 312-337-7000, extension 6511, and Small Research Grants can be contacted at extension 6509. The email address for Major Research Grants is majgrant@spencer.org and for Small Research Grants it is smgrant@spencer.org. Additional information about these programs will be made available on the Foundation’s web site, at www.spencer.org. In the meantime, we provide general information for applicants on the following page.

TWO-YEAR COLLEGES’ CONTACTS WITH POTENTIAL EMPLOYERS

Contacts between two-year college staff and potential employers could be beneficial for all concerned: colleges could design programs more closely aligned with employers’ needs, students might be more marketable in their chosen fields, and employers might be more comfortable hiring students from programs with which they have had more contact. James Rosenbaum, of Northwestern University, will look at how two-year college staff make and maintain contact with employers, what they learn from these contacts about the labor market, how that knowledge feeds back into colleges’ programs or instruction, and how the schools’ contacts with employers influence college students’ experiences with degree completion, job search, and employment. Surveys and interviews with faculty and guidance counselors will focus on the actual college staff/employer contacts, illuminating the “black box” of community college guidance. Students from a previous Rosenbaum study at the same institutions will be re-surveyed to find out how their actual job search unfolded, how their school experiences influenced their job search, and how they transitioned into work. In this way, Rosenbaum hopes to contribute to a literature that includes considerable information about these issues in other countries, but very little about how these processes work in the United States.
Application Guidelines for Research Grants

Major Research Grants

The Foundation’s Major Research Grants Program supports research projects requiring more than $35,000. Research projects vary widely, ranging from medium-sized studies that can be completed within a year by an individual researcher to more extensive collaborative studies that last several years.

**Funding Priorities and Eligibility:** At the time of this report’s publication the Foundation has not established funding priorities for subjects of research; projects originate from research ideas initiated in the field by scholars and other researchers. Applicants should check the Foundation’s web page, however, for the latest information regarding funding priorities. Ordinarily, principal investigators applying for a Major Research Grant must be affiliated with a college or university, a research facility, a school district, or a cultural institution. Researchers must also have an earned doctorate in an academic discipline or professional field or appropriate experience in the teaching profession.

**Restrictions:** The Foundation normally does not grant funds to maintain organizations or the institutional 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 of more than $75,000 may not exceed 15 percent of the requested direct costs. The Foundation does not pay indirect costs on research grants of $75,000 or less.

**Application Procedure:** Since the Foundation does not 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 1,500 words in length. Within those limits, we request the following information:

- a brief description of the project, its central research question(s), their significance, and the new knowledge expected to result from it;
- a concise summary of the conceptual framework, research methods, data collection instruments, and modes of analysis that the project will employ;
- a clear identification of the principal investigator(s) and a clear definition of the role(s) he/she and any supporting researcher(s) will play; and
- an estimate of the time frame for the project and the approximate cost, including the approximate amount to be sought from the Spencer Foundation.

Attachments must include:

- the curriculum vita(e) of the principal investigator(s); no longer than 6 pages; and
- phone number(s), fax number(s) and email address(es) where investigator(s) may be reached.

Inquiries and preliminary proposals are welcome at any time and should be addressed to: Major Research Grants Program, The Spencer Foundation, 875 North Michigan Avenue, Suite 3930, Chicago, Illinois 60611-1803.
Small Research Grants

The Foundation’s Small Research Grants Program supports short-term research projects (two years or less) that require no more than $35,000 to complete. It offers a unique opportunity for scholars and practitioners in a broad range of institutions who are interested in educational research to obtain support for their work. The program is appropriate for modest-sized research projects, exploratory studies, specific phases of larger investigations, and projects that arise in response to unusual opportunities. The Small Research Grants Program encourages researchers with diverse perspectives to develop ideas and approaches that extend the conventional boundaries of a research question, area, or method. The program supports individual efforts as well as collaborations.

Eligibility: Applicants must possess an earned doctorate and be affiliated with a college, university, school, or cultural institution. Educators currently employed in K-12 settings who are not pursuing a graduate degree are also eligible.

Restrictions: Grantees are not permitted to receive two research grants simultaneously from the Spencer Foundation. Grants made under this program range from $1,000 to an upper limit of $35,000. Projects may not last longer than two years. Please note that the Foundation does not 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 Research Grants Program should be in the form of a statement with attachments. The statement should not exceed 1,800 words in length (approximately five to seven double-spaced pages) and should provide clear information on the following:

- a concrete description of the proposed research project and its significance;
- a brief summary of the relevant literature and the proposed research’s relationship to it;
- the methodologies and modes of analysis to be employed in the project;
- the role of the researcher(s);

Making History Come Alive

Can historical re-enactment or simulation improve the teaching of history? Indiana University historian David Thelen thinks that students need to re-create and then re-experience the open-endedness that participants faced in particular historical moments. He also argues that it is important to “explore how people reconsider what historical actors actually said or did, a process that may unleash a flood of feelings like pride, regret, grief, guilt, or anger,” making the past more relevant. Thelen believes that this approach can help students better understand the uncertainties that characterize historical events, and to use history in ways that will help them grow.

Thelen plans to begin by mapping how re-experiencing events shapes everyday uses of the past and frames techniques to address problems. Noting scholars who have framed re-enactment as an alternative approach to history education, his work contributes to debates about historical empathy, role playing, and supporting curricular materials. He examines historical re-enactments in places like Conner Prairie, the U.S. Army, and the Lower East Side Tenement Museum, and the Truth and Reconciliation Commission’s re-enactment of confrontations in South Africa. He also explores how re-enactment of large historical phenomena like slavery, apartheid and the holocaust contribute to citizenship education.

In the end, Thelen asks whether a radical reformulation of history will help students better understand themselves, frame and make choices in life, learn from and empathize with others, think critically, and become active, autonomous citizens. The answers to such questions may pose a challenge to history teachers, and offer new hope and excitement to the students in their classes.
• the new knowledge about education expected to result from the project; and
• the potential contribution of that new knowledge to the improvement of education.

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;
• the curriculum vita(e) of the principal investigator(s); no longer than 6 pages; and
• phone number(s), fax number(s) and email addresses where investigator(s) may be reached.

Three copies of the proposal and attachments are requested. Please note that proposals exceeding the prescribed limit of 1,800 words will not be reviewed. Insofar as it is feasible, proposals that include all the information requested above will be acted upon within approximately three months of receipt by the Foundation.

Inquiries and proposals are welcome at any time and should be addressed to: Small Research Grants Program, The Spencer Foundation, 875 North Michigan Avenue, Suite 3930, Chicago, Illinois 60611-1803.
From its inception, the Foundation recognized the importance of providing support for promising researchers interested in educational issues as a means of improving both the quality of educational research and quantity of strong scholars interested in tackling the difficult problems associated with understanding and improving education. Faced with a steady decline in other organizations’ support of education research and training, the Foundation developed programs, targeted at various stages of the scholarly career, to support the growth and development of the educational research community. The Foundation’s fellowship programs provide scholars with financial resources needed to help support full-time scholarly work and access to professional communities that help broaden fellows’ perspectives on their work.

The Foundation has long believed that the study of education can best be served by drawing on the divergent disciplinary and methodological perspectives of scholars from departments and schools of education, and the traditional social sciences. In addition, the Foundation has acknowledged the importance of the social dimension of scholarship and has valued activities that bring fellows together with other scholars to deepen their understandings of the issues they address in their own intellectual work. The Foundation draws scholars from a variety of disciplines and, within its fellowship programs, develops inter-disciplinary “communities of practice” that can bring a diversity of perspectives to bear on the complex and difficult issues related to educational improvement. As in our grants programs, fellowship programs invite investigator-initiated proposals from scholars studying education, broadly conceived.

One fellowship program, the Spencer Dissertation Fellowship Program, is administered directly by the Foundation. Three others, the National Academy of Education/Spencer Postdoctoral Fellowships, the American Educational Research Association/Spencer Pre-Dissertation Research Fellowships, and the Spencer Fellows at the Center for Advanced Study in the Behavioral Sciences, are administered by outside agencies on behalf of the Foundation.

The Spencer Foundation Dissertation Fellowship Program, established in 1987, serves advanced doctoral students. The program is designed to identify emerging scholars from education and to attract talented young scholars from other fields to the study of educational issues. It also seeks to help fellows develop professionally in order to sustain their interests in educational inquiry. Each year, approximately thirty fellows are selected from a pool of about 500 applicants. Fellows represent a variety of intellectual and disciplinary perspectives: roughly half are drawn from departments and schools of education, and half are drawn from traditional social science and humanities disciplines. Each fellow receives a stipend of $20,000 and is invited to a series of meetings designed to introduce the fellows and their work to each other and to other scholars. This fellowship is intended to support the writing of the dissertation during the last year(s) of graduate work. The 2003-2004 fellows are listed on pages 23 and 24.

Begun in 1996, the American Educational Research Association (AERA)/Spencer Pre-Dissertation Fellowship Program is designed to support doctoral students who are in the early stages of their professional studies. The program is administered by AERA. Each year, fifteen to twenty fellows, from education as well as the disciplines, are selected from a pool of approximately 250 applicants. Fellows receive stipends of up to $16,000, plus $4000 in travel funds. Fellows use their travel funds to meet with mentors from outside of their home institutions and to attend two three-day Institutes. Fellows for 2002-2003 are listed on pages 24 and 25.
The National Academy of Education (NAE)/Spencer Postdoctoral Fellowship Program is designed to strengthen education research and scholarship through the support of talented postdoctoral scholars with interests in education. The program was established in 1972 and has been administered by NAE throughout its history. From a pool of approximately 200 applicants in education and the disciplines, approximately thirty early career scholars (within five years of receipt of the doctoral degree) are awarded fellowships each year. The $50,000 stipend is intended to provide support for one full year (or two years half time) of research and writing. In addition, fellows are invited to participate in a program of activities designed to strengthen their affiliation within the education research professional community. The 2003-2004 fellows are listed on pages 25 and 26.

Since 1971, three to five senior scholars with interests in education have been supported annually as Spencer Fellows at the Center for Advanced Study in the Behavioral Sciences (CASBS). Spencer fellows are part of an interdisciplinary community of approximately forty-five Center fellows in residence for nine to twelve months. The stipend provided allows fellows the opportunity to devote an extended period of time to their own scholarly work as well as to broaden their perspectives through interaction with scholars from other disciplines. The program is administered by CASBS. Spencer fellows are identified and selected through CASBS’ regular selection process, which includes nominations and peer reviews of scientists and scholars of exceptional accomplishment or promise. Fellows for 2002-2003 are listed on page 26.

Additional information is available on the Foundation’s website, at www.spencer.org. In addition, we welcome questions about any of these programs. The Foundation’s Fellowship office can be reached at 312-337-7000, extension 6526, or via email at fellows@spencer.org. General application information follows.

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. These 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.

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.

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 coursework, 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 one or two-year time frame.

Restrictions. Fellows’ stipends are to support completion of their dissertations. They are to be expended within one or two years, in accordance with the work plan provided by the candidate in his/her application. Fellows may not accept employment other than as described in the application, nor may they accept other awards providing duplicate benefits without the written permission of the Spencer Program Officer.
Application Procedure. Application materials may be requested from the Foundation or downloaded from the Foundation’s website. Fellowship applicants must submit their completed applications by a mid-October date designated in written materials and on the Foundation’s website each year. Awards are announced in April.


American Educational Research Association/Spencer Pre-Dissertation Research Fellowships

The American Educational Research Association (AERA)/Spencer Pre-Dissertation Fellowship Program provides one-year fellowships for graduate students midway through their doctoral programs. Students at institutions receiving Spencer Research Training Grants are not eligible for these fellowships.

Inquiries should be addressed to: AERA/Spencer Pre-Dissertation Research Fellowship Programs, The American Educational Research Association, 1230 17th Street, NW, Washington, District of Columbia 20036.

National Academy of Education/Spencer Postdoctoral Fellowship

Administered by the National Academy of Education, the 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.

Inquiries concerning the Postdoctoral Fellowship Program should be addressed to: The National Academy of Education, School of Education, New York University, 726 Broadway, Suite 509, New York, New York 10003-6652.

Spencer Fellows at the Center for Advanced Study in the Behavioral Sciences

Three to five distinguished scholars with interests in issues of education, development, cognition, and/or the social contexts of learning are supported annually as Spencer Fellows at the Center for Advanced Study in the Behavioral Sciences in Stanford, California. Candidates for these residential fellowships are generally nominated by well-known scholars, academic administrators, and former Center Fellows.

Inquiries should be addressed to: Director, Center for Advanced Study in the Behavioral Sciences, 75 Alta Road, Stanford, California 94305-8090.
Thirty advanced doctoral students from eighteen institutions were named Spencer Dissertation Fellows for 2003-2004. Their research stems from a variety of disciplinary traditions, employs a range of methods, and takes up a diverse set of substantive questions. The fellows’ interests range from the growth of individuals and groups to the role of education in building national identities. For several, the research attends to tensions surrounding the relationship of “local” or cultural knowledge to more “formal” school knowledge in both small and large settings. Race, class, and gender also constitute important lenses of interpretation for these fellows as they trace the negotiations of educational actors in multicultural contexts. The research projects summarized below are selected examples of the kinds of studies undertaken by doctoral students supported by the Foundation’s Dissertation Fellowship Program this year.

Several dissertations are broadly concerned with issues of learning and instruction. One study examines the relationships between the learning of complex scientific subject matters and the self-guided, self-motivated, interest-based mode of engagement characteristic of hobbies. Using a comparative ethnography of two hobby practices -- model rocketry and amateur astronomy -- Flavio Azevedo of the University of California, Berkeley is exploring long-term patterns of engagement and interest in learning about technical or scientific concepts. More specifically, Azevedo explores the learning opportunities within open-ended, informal science learning practices and their relation to participants’ trajectories of learning and interests. His work has implications for extending knowledge of how certain practices support long-term, self-motivated learning and hold promise to inform the design of future learning environments.

Other dissertations this year examine issues related to the teaching profession. One historical study examines the competing visions of “good” teaching in five cities in the American Pacific Rim at the turn of the last century to answer questions about the nature of teachers’ lives, inside and outside of classrooms, during an era of dramatic social change. Michelle Morgan, of the University of Wisconsin, Madison, explores the competing visions of teachers’ identities that emerged as teachers, administrators, and community members struggled to define teachers’ social and professional status in the midst of rapid urbanization and educational bureaucratization. Morgan’s work builds understanding the history of teachers and teaching in several cities that confronted the challenges of ethnicity, race, and rising expectations for schools in the early decades of the twentieth century.

Several of this year’s fellows focus their research on language and literacy issues, and the politics and practices of language learning. One study investigates resistance, as it is locally defined, among ESL students in compulsory second language classes in a multilingual, multiethnic Hawai’i high school. Employing a critical ethnographic framework in an urban high school with a large population of language minority students, Steven Talmy of the University of Hawai’i at Manoa examines the ways in which student resistance affects language learning, teacher expectancies, and academic success or failure. His work deepens understanding of the sources and consequences of resistance.

Other dissertation research this year is focused on issues of social policy, politics, and educational reform. One study examines the environmental origins of disparities in school readiness and early academic achievement for low income children. Combining methods from developmental psychology, education, and economics, Elizabeth Votruba-Drzal of Northwestern University focuses first on the influence of family income on children’s home environments and the effects on child outcomes at the transition to kindergarten. She then examines the influence of child care type, quantity, stability, and
quality on children’s school readiness, conceptualizing readiness as an integration of cognitive and social development. Finally she focuses on what aspects of the kindergarten experience promote school success in subsequent years. Her study addresses a key education policy question -- why do some children start school on unequal ground -- and has implications for policy interventions and practice to better promote school readiness for children.

Several research projects this year address questions of **racial, ethnic, and cultural identity** and the experience of socialization in multi-ethnic communities. For example, in an ethnographic study of a multi-ethnic suburb in Silicon Valley, California, Adrienne Lo of the University of California, Los Angeles, examines the ways in which second and 1.5 generation Korean American immigrant children learn to be members of their community. By looking at how children’s work and performance is made subject to criticism and praise in four distinct educational settings, Lo examines how “educational achievement” and morality intertwine. Her analysis is informed by an awareness that education in immigrant communities is impacted not only by ‘tradition’ but also by the prevailing educational ideologies and practices associated with the host country. Her work thus contributes to a new but growing body of research that can help conceptualize the process of socialization in multi-ethnic settings.

Other dissertation research this year is focused on questions of policy at the **higher education** level. One study examines the labor market consequences of the timing of specialization in higher education to ask whether the unique American system of higher education, with its emphasis on breadth of learning, has consequences in the labor market. Using national data from different countries, Ofer Malamud of Harvard University compares the American system, in which a large proportion of college coursework is quite general and specialization occurs relatively late, to one in which students specialize early and college coursework is more specific. Malamud investigates how an early specialization approach affects wages, the probability of working in a related job, and job satisfaction. Drawing on labor economic theory, the study develops a theoretical framework on the trade-offs that are associated with later specialization. The study will make an empirical and methodological contribution to the broad policy discussion on the appropriate balance between specialization and generalized training in higher education.

Finally, a few studies focus on the nature of **education in non-U.S. contexts**. To deepen understanding of how schools contribute to the perpetuation of structural inequalities among social groups, one dissertation examines the ways in which Hmong youth are represented, and represent themselves, within Thailand’s project of national integration and modernization. The author of this study, Tracy Pilar Johnson-Messinger of Teachers College, Columbia University, studies the conflicts that arise when school becomes a site for nationalizing projects that aim, paradoxically, to produce both a sense of inclusion and exclusion for minority communities. In this study of two curricular projects – the official, governmental curriculum established by majority Thai policymakers and an “indigenous” curriculum created by a locally staffed nongovernmental organization -- the research illuminates how Hmong school children experience their culture in relation to ongoing processes of state formation and minority integration. Johnson-Messinger’s work contributes to a deeper understanding of the issues related to minority difficulties in dominant schools, including the issues related to cultural maintenance in complex societies.
INSTITUTIONAL INITIATIVES

Programs that focus on improving the education of education researchers through strengthened institutional initiatives are part of the goals of three of the invitational programs of the Foundation: the Research Training Grant Program, the Discipline-Based Scholarship in Education Program, and the Russian Training and Fellowship Program. Through these programs, the Foundation aims to enrich the preparation of early-career scholars within the larger education research community by providing financial support for individuals to engage in full-time graduate study, by strengthening programs of preparation at institutions, and by encouraging researchers in the disciplines to work on education issues.

Research Training Grant Program

The Research Training Grant (RTG) Program provides awards to schools of education to support the doctoral training of education researchers. Introduced in 1994, the RTG program is one of several Foundation efforts that addresses the continuing decline in fiscal support for education research in general and the training of researchers in education in particular. The program’s goals, intended to support institutional efforts to enhance the doctoral training of education researchers, are: (1) to enhance the research training of graduate students in education by providing financial aid to students so that they can study full time, (2) to develop strong cohorts or communities of inquiry among graduate students and professors and to develop a larger and stronger national community of inquiry focused on education research, (3) to stimulate reflection on and conversation about doctoral preparation in education, and (4) to generate and diffuse knowledge about research training. Proposals are accepted at the invitation of the Foundation. New proposals are not being invited at this time.
Discipline-Based Scholarship in Education Program

The Discipline-Based Scholarship in Education Program is part of the portfolio of institutional initiatives aimed at improving research training in education. Launched in 2001, the program seeks to promote or reinforce communication and collaboration among researchers housed in different disciplinary departments across a university, or between disciplinary departments and schools or departments of education. Grants made under this program reflect the Foundation’s commitment to helping develop scholars who can approach education problems from multiple perspectives. Five grants have been made to institutions that, at the Foundation’s invitation, designed research and training programs aimed both at faculty and at students. These initial awards represent a mix of disciplines, thematic foci, and institutional arrangements. Proposals are accepted at the invitation of the Foundation.

Russian Training and Fellowship Program

Through a grant to European University at St. Petersburg, the Russian Training and Fellowship Program aims to further develop an emergent research community in Russia focused on social studies of education. Introduced in 2000, the program supports dissertation-writing and postdoctoral fellowships to scholars who bring the research traditions of sociology, history, anthropology, and other social sciences to the study of education and education change. The program further supports a range of activity intended to develop this goal: professional meetings and conferences, professional development activity, periodical journals, and international exchanges.

THE “IDEA OF TESTING” PROJECT

Since fall 2001, the Spencer Foundation has sponsored an interdisciplinary initiative focused on expanding the foundations of educational assessment. The project supports a series of cross-disciplinary conversations concerning the theories and methods through which assessment is conceptualized, practiced, and evaluated. Such discussions are intended to surface tacit assumptions and to identify important, researchable questions that extend the purview of the field of educational testing. Those who initially conceptualized the project described two important goals:

First, we seek to situate standardized testing in its sociocultural contexts. This includes examining the historical circumstances in which standardized testing has developed, the social practices of the professional communities involved in testing, and the social effects of using tests in schools. Second, we seek to develop and study alternative means of assessment—alternative strategies for gathering, warranting, and using trustworthy evidence about individuals and institutions—strategies that might complement and/or challenge practices based in psychometrics.

The “Idea of Testing” project brings together a small panel of scholars who base their work in various disciplines, including but extending well beyond psychology and psychometrics. Pamela Moss (University of Michigan), Diana Pullin (Boston College), James Paul Gee (University of Wisconsin, Madison), Edward H. Haertel (Stanford University), and Lauren Jones Young (Spencer Foundation) are the project organizers. Additional participants include King Beach (Michigan State University), James Greeno (Stanford University), Carol Lee (Northwestern University), Hugh Mehan (University of California, San Diego), Robert Mislevy (University of Maryland, College Park), Fritz Mosher (consultant to the Spencer Foundation), with assistance provided by Doris Fischer (Spencer Foundation) and Andrew Ho (Stanford University). From the initial conversations, the concept of “opportunity to learn” emerged as both an intersection of participants’ interests and a means to focus work about the preconditions of valid assessment, better methods of assessment, and implications of assessment for equity and social justice.
2003 GRANTS AUTHORIZED

MAJOR GRANTS

Karl L. Alexander
Success in the Making: Life Course Patterns of Urban Youth Through the Third Decade
Department of Sociology
Johns Hopkins University
$500,000

Craig Calhoun
SSRC-NAE Project on the Training and Careers of Educational Researchers
Social Science Research Council
$99,950

Kenneth A. Dodge
North Carolina Education Research Data Center
Center for Child & Family Policy
Duke University
$450,250

James G. Greeno
Construction of Mathematical Identities in Middle School
School of Education
Stanford University
$406,150

Thomas J. Kane
A Study of National Board Certified Teachers in Los Angeles
School of Public Policy and Social Research
University of California, Los Angeles
$301,900

Cynthia B. Lloyd and Zeba Sathar
The Implications of Changing Educational Opportunities in Rural Pakistan, 1997-2003: School Access, Choice and Quality
Policy Research Division
The Population Council
$260,300

Douglas L. Medin
The Cultural Context of Learning: Native American Science Education
Department of Psychology
Northwestern University
$50,000

Barbara Scott Nelson
Leadership Content Knowledge: What it is and how it affects administrators' practice of classroom observation and teacher supervision
Division of Mathematics, Learning and Teaching
Education Development Center, Inc.
$423,500

Denis C. Phillips
Summer Doctoral Training Institutes in Philosophy of Education
School of Education
Stanford University
$298,650

James E. Rosenbaum
Contact between Two-year Colleges and Employers: Impact on Instruction, Guidance, and Student Outcomes
Institute for Policy Research
Northwestern University
$400,000

Amy E. Schwartz, Ingrid Gould Ellen, Katherine M. O’Regan, and Leanna Stiefel
Public Education and New York City’s Immigrant Children
Wagner School of Public Service
New York University
$260,750

David P. Thelen
Learning from the Past: Individual Experience and Re-Enactment
History Department
Indiana University
$172,700

Burton A. Weisbrod and Jeffrey P. Ballou
The Commercialization of Higher Education
Institute for Policy Research
Northwestern University
$390,300
## SMALL GRANTS

<table>
<thead>
<tr>
<th>Name</th>
<th>Project Title</th>
<th>Institution</th>
<th>Funding</th>
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<tbody>
<tr>
<td><strong>Rebecca A. Allahyari</strong></td>
<td>Sacred Schooling: Faith, Values, and Families in Home Education</td>
<td>School of American Research</td>
<td>Santa Fe, NM</td>
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<td><strong>Kristin J. Anderson</strong></td>
<td>Students’ Expectations of Professors: The Influence of Gender, Ethnicity, and</td>
<td>Department of Psychology</td>
<td>University of Houston-Downtown</td>
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<td>Teaching Style</td>
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<td><strong>Alison L. Bryant</strong></td>
<td>Explaining Links between Academics and Adolescent Substance Use: Psychosocial and Motivational Perspectives</td>
<td>College of Education</td>
<td>University of Missouri - Columbia</td>
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<td><strong>Elizabeth Anne Cole</strong></td>
<td>The History Education and Reconciliation Project</td>
<td>Carnegie Council on Ethics and International Affairs</td>
<td>New York, NY</td>
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<tr>
<td><strong>William A. Corsaro</strong></td>
<td>Italian and American Children’s Transition from Preschool to Elementary School</td>
<td>Department of Sociology</td>
<td>Indiana University</td>
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<td><strong>Anna-Lisa Cox</strong></td>
<td>Educating for Equality in a Mixed-Race Nineteenth-Century Rural Michigan Community</td>
<td>Newberry Library</td>
<td>Chicago, IL</td>
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<td><strong>Douglas B. Downey</strong></td>
<td>Are Schools the Great Equalizer? School and Non-School Influences on Socioeconomic and Black/White Gaps in Reading Skills</td>
<td>Department of Sociology</td>
<td>Ohio State University</td>
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<td><strong>Roger M. Downs</strong></td>
<td>The Creation of School Geography in America</td>
<td>Department of Geography</td>
<td>Pennsylvania State University</td>
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<tr>
<td><strong>Paula England</strong></td>
<td>Sex Segregation in Doctoral Fields: Trends and Consequences</td>
<td>Department of Sociology</td>
<td>Northwestern University</td>
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<td><strong>John Fea</strong></td>
<td>Rural Enlightenments: Protestant Order and the Making of Americans in the Early Delaware Valley Countryside</td>
<td>Department of History</td>
<td>Messiah College</td>
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<tr>
<td><strong>Bruce Fuller and Seeta Pai</strong></td>
<td>Child Care Struggles: Cultures, Markets, and the End of Modern Institutions?</td>
<td>School of Education</td>
<td>University of California, Berkeley</td>
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<td><strong>Thomas C. Hatch</strong></td>
<td>Building the Capacity to Establish and Sustain Coherent School Reform</td>
<td>Carnegie Foundation for the Advancement of Teaching</td>
<td>Menlo Park, CA</td>
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<td><strong>Jennifer Imazeki</strong></td>
<td>School Revenue Limits and Teacher Salaries</td>
<td>Department of Economics</td>
<td>San Diego State University</td>
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<td><strong>Janice E. Jackson</strong></td>
<td>Border Crossers: Bridging the Great Divide Between Research and Practice</td>
<td>Lynch School of Education</td>
<td>Boston College</td>
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<td><strong>Lewis R. Johnson</strong></td>
<td>Self-Monitoring Intervention for Young Children with ADHD</td>
<td>Department of Specialized Education Services</td>
<td>University of North Carolina at Greensboro</td>
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<td><strong>Connie Juel</strong></td>
<td>Project EVE: A Study of Vocabulary Enrichment</td>
<td>Human Development &amp; Psychology</td>
<td>Harvard University</td>
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<td><strong>Jane Junn</strong></td>
<td>How Well do Reputational Assessments Approximate the Quality of Ph.D. Programs?</td>
<td>Association of American Universities</td>
<td>Washington, DC</td>
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<td><strong>Thomas E. Keller</strong></td>
<td>How School-based Mentoring Addresses Psychosocial Barriers to Learning</td>
<td>School of Social Service Administration</td>
<td>University of Chicago</td>
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<tr>
<td><strong>Patrick F. Kenealy</strong></td>
<td>Similarities Between Science Learning and Adult Second-Language Acquisition: Research on Students’ Communication Strategies in Introductory Physical Science</td>
<td>Department of Physics</td>
<td>California State University, Long Beach</td>
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<td><strong>Kevin M. Kruse</strong></td>
<td>White Flight: Race and Place in Atlanta</td>
<td>Department of History</td>
<td>Princeton University</td>
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<tr>
<td><strong>Gloria J. Ladson-Billings</strong></td>
<td>Beyond the Big House: Life Stories of African American Teacher Educators</td>
<td>Department of Curriculum and Instruction</td>
<td>University of Wisconsin-Madison</td>
</tr>
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Kevin M. Leander
A Connective Ethnography of Adolescent Communication Practices Across Online and Offline Contexts
Department of Teaching and Learning
Vanderbilt University
$35,000

Valerie E. Lee
Optimal Educational Contexts for Low-Income Children
School of Education
University of Michigan
$34,770

Christine Liddell
Safe Sex Behaviors and Indigenous Models of Illness-implications for Southern Africa AIDS Education
Department of Psychology
University of Ulster
Coleraine, Ireland
$34,200

Xiufeng Liu
Students' Conceptual Understanding on Matter: The Progression Pattern and Underlying Psychological Structure
Graduate School of Education
State University of New York at Buffalo
$34,950

Bridget Terry Long
Community College Attendance as a Pathway to a Baccalaureate Degree
Graduate School of Education
Harvard University
$35,000

Yolanda J. Majors
Investigating “Shoptalk” as a Mediation Tool in Classroom-based, Complex Problem-Solving Tasks
College of Education
University of Georgia
$34,950

David L. McConnell and Charles E. Hurst
The Changing Landscape of Learning in Amish Schools and Communities
Department of Sociology and Anthropology
College of Wooster
$35,000

Bryan J. Moseley, Mary E. Brenner and Yukari Okamoto
U.S. and Japanese Differences in Rational Number Understanding: A Conceptual Comparison of Multiple and Single Perspective Instructional Approaches
Department of Educational and Psychological Studies
Florida International University
$35,000

Mary J. Oates
Education, Gender, and Religion in America: The College of Notre Dame of Maryland, 1895-2002
Department of Economics
Regis College
$35,000

Thomas V. O’Brien
You Can’t Build a Chimney from the Top: The Life and Work of Joseph Winthrop Holley, 1874-1938, A Biography
School of Teaching and Learning
Ohio State University at Mansfield
$34,800

Lynn Okagaki
Ethnic Orientation and Motivation for School among American Indian Adolescents
Department of Psychology
University of California, Riverside
$32,900

Ross D. Parke
The Role of Parent and Student Perceptions in the Educational Achievement of Mexican American Students
Department of Psychology
University of California, Riverside
$34,950

Brian Powell
The Educational Experiences of Young Children from Biracial Families: An Exploratory Study of Parental Resources and Educational Outcomes
Department of Sociology
Indiana University
$35,000

Lesley A. Rex
Who is the We?: A Study of Racialized Discourse and Identity Politics in Classroom Literacy Teaching and Learning
School of Education
University of Michigan
$34,500

Robert A. Rhoads
Enhancing the Retention of Underrepresented Students of Color: The Student-Initiated Retention Project
Graduate School of Education and Information Studies
University of California, Los Angeles
$34,750

Barry H. Schneider
Close Friendship and Parental Support as Predictors of Successful Adjustment Following the Transition to Italian Middle School
School of Psychology
University of Ottawa
$27,750

John W. Sipple
Local School Responses to Increased Graduation Requirements in New York State
Department of Education
Cornell University
$35,000

Amy E. Stambach
Faith-based Educational Initiatives Overseas: American Missionaries in East Africa
Department of Educational Policy Studies
University of Wisconsin-Madison
$29,800

Sidney Strauss and Jin Li
Teaching as a Natural Cognition: Chinese Mothers and their Young Children
Education Department
Tel Aviv University
$35,000

Jonathan R. H. Tudge
Parents’ Values and Beliefs and their Children’s Activities as a Preparation for School
Department of Human Development and Family Studies
University of North Carolina at Greensboro
$34,650
Small Grants

Abigail A. Van Slyck
*A Manufactured Wilderness: Exploring the Cultural Landscape of American Summer Camps, 1890-1960*
Department of Architectural Studies
Connecticut College
$33,990

Bruce A. VanSledright
*In Search of America’s Past Four Years Later: A Follow-up Study of the Historical Thinking Capabilities of Eight Diverse High School Students*
Department of Curriculum and Instruction
University of Maryland at College Park
$32,900

Maris A. Vinovskis
*Origins of the Head Start Program in the Lyndon B. Johnson Administration*
Department of History
University of Michigan
$35,000

Susan Watts-Taffe
*If Not a Quick Fix, Then What? Understanding an Innovative School Structure, Inquiry-Based Teacher Professional Development, and School-University Collaboration in an Urban School*
College of Education and Human Development
University of Minnesota
$30,950
FELLOWSHIP AWARDS

2003–2004 SPENCER DISSERTATION FELLOWS

Anna-Ruth Allen
Getting Connected: Youth Identity and Trajectories of Participation in High School
Department of Curriculum and Instruction
University of Wisconsin-Madison

Marina Aminy
Constructing the Moral Identity: Literacy Practices and Language Socialization in a Muslim Community
Graduate School of Education
University of California, Berkeley

Flavio S. Azevedo
Serious Play: A Comparative Study of Learning and Engagement in Hobby Practices
Graduate School of Education
University of California, Berkeley

Catherine Belcher
Graduate School of Education
University of Pennsylvania

Courtney Bell
An Unexamined Perspective: Parents’ Views of School Choice
Department of Teacher Education
Michigan State University

Elizabeth Popp Berman
University vs. Industry? A Comparative Study of University-Industry Research Relationships in Molecular Biology and Electrical Engineering
Department of Sociology
University of California, Berkeley

George Bunch
Demystifying Academic Language: Talking and Writing in Linguistically Diverse Mainstream Classrooms
School of Education
Stanford University

Josefa Carpena-Méndez
Growing Up Between Letters and Trenches: An Ethnography of Childhood Across Schooling and Work In Rural Puebla, Mexico
Department of Anthropology
University of California, Berkeley

Julia Johnson Connor
Seeking “Free Spaces Unbound”: Exploring the Literary and Social Experiences of Biracial Adolescents Through Biracial Literature
College of Education
University of Illinois at Urbana-Champaign

Brett Gadsden
“All We Wanted Was a Bus for the Colored”: African-American Debates about the Desegregation of Public Education in Delaware
Department of History
Northwestern University

Nicole Marie Gillespie
The Emergence of Model-Based Reasoning in Classroom Discourse
Graduate School of Education
University of California, Berkeley

Guanglei Hong
Causal Inference for Multi-Level Observational Data with Applications to Educational Research
School of Education
University of Michigan

Tracy Pilar Johnson-Messinger
Citizen Subjects: Hmong Schoolchildren in Thai Rural Schools
Program in Anthropology and Education
Teachers College, Columbia University

Stephanie Renee Jones
Living Poverty as a Girl: Literacy and Identity between Social Classes
College of Education
University of Cincinnati

Tomoe Kanaya
Age Differences in IQ Trends: The Flynn Effect in Special Education
Department of Human Development
Cornell University

Adrienne Shiu-Ming Lo
Language Socialization in the Korean American Community
Department of Anthropology
University of California, Los Angeles

Ofer Malamud
To Specialize Earlier or Later: An Assessment of the American System of Higher Education
Department of Economics
Harvard University

Angela I. McIver
Number Sense: An Exploration of Urban Middle School Students’ Numerical Reasoning
Graduate School of Education
University of Pennsylvania

Michelle Mahealani Morgan
“A Model of Womanhood or Manhood”: City Teachers in the American Pacific Rim, 1890-1930
Department of History
University of Wisconsin-Madison

Kimberly Grace Nao
Becoming AP: The Socialization and Identity Development of Students of Color In The Advanced Placement English Classroom
Graduate School of Education and Information Studies
University of California, Los Angeles

Tracy Elizabeth Noble
Physics and Gesture: The Role of Body Movement in Physics for Elementary School Students and Physicists
Department of Education
Tufts University

Shira May Peterson
Co-Constructing Scientific Explanations in Preschool
Margaret Warner Graduate School of Education and Human Development
University of Rochester

Sara Youcha Rab
Swirling Students: Exploring Complex Attendance Patterns In Higher Education
Department of Sociology
University of Pennsylvania

2003 Annual Report
Spencer Dissertation Fellows

Anadelia Alicia Romo  
Primary Education in Bahia: A Century of Struggle, 1888-1988  
Department of History  
Harvard University

Regina E. Smardon  
Learning to Label: Defining School Performance through a System of Professions  
Department of Sociology  
University of Pennsylvania

Mike Stieff  
Knowledge Representation and Spatial Manipulation in Chemistry  
School of Education and Social Policy  
Northwestern University

Roland Coloma  
Navigating Imperial Encounters: Camilo Osias and Filipino Education under U.S. Rule, 1900-1926  
College of Education  
Ohio State University

Jennifer Cromley  
Adolescent Reading and Self-Regulated Learning  
College of Education  
University of Maryland

Nathalie Duval-Couëtil  
Immigrants, English, and the Workplace: Employer Perspectives on the Delivery of Language Education to Immigrant Workers in Manufacturing Companies  
School of Education  
Purdue University

John Eagle  
Home-School Partnerships and the Academic, Social, and Behavioral Needs Of Children  
Teachers College  
University of Nebraska-Lincoln

Steven Talmy  
Resisting ESL: A Critical Ethnography in an Urban High School  
Department of Second Language Studies  
University of Hawai‘i at Manoa

Elizabeth Votruba-Drzal  
Starting School on Unequal Ground: Environmental Origins of School Readiness and Early Academic Disparities  
School of Education and Social Policy  
Northwestern University

Jill Suzanne White  
Class or Culture?: Exploring the Lives of Mexican-Origin Out-Of-School Youth in the Bluegrass  
Department of Anthropology  
University of Kentucky

Robert Frederick Williams  
From Matter to Meaning: Material Structure and Conceptual Integration in Time-Telling Instruction  
Department of Cognitive Science  
University of California, San Diego

Sandra Toro Martell  
Learning Art Across Contexts: Elementary Student Epistemologies of Science and Art in School, the Local Community, and a Museum  
Department of Educational Psychology  
University of Washington

Lauri. K. Muñoz  
Mexican Schools, Mexican American Teachers in Jim Crow Arizona  
Department of History  
Arizona State University

Shira Peterson  
Co-Constructing Scientific Explanations in Preschool  
Margaret Warner Graduate School of Education and Human Development  
University of Rochester

Victoria Pettis  
Race Talk in a Teacher Book Club  
College of Education  
University of Georgia

Catherine Richards Solomon  
Relationships Among Work, Family, and Gender Across the Life Course  
Department of Sociology  
Syracuse University

The AERA/Spencer Pre-Dissertation Fellows are supported through a grant of $250,000 made in the 2002 fiscal year to AERA.
AERA/Spencer Foundation Pre-Dissertation Research Fellows

Troy Richardson  
Indigenous Philosophy of Language  
College of Education  
University of Utah

Michael Silverman  
Experiential Learning in Community-Based Social and Environmental Justice Program  
Rossier School of Education  
University of Southern California

Lynda Tisa  
Informal Learning Cultures/Interactive Technologies: Female and Racial Images in Video Games  
School of Education  
University of Delaware

Ann Rivera  
Influence of Out-of-School Engagement on Adolescents’ Academic Performance and Psychosocial Development  
Department of Psychology  
New York University

Samuel Y. Song  
Promoting Positive Peer Relationships to Inhibit Classroom Bullying & Peer Victimization: The Role of a Protective Peer Ecology: A Multi-Method Examination  
Department of Educational Psychology  
University of Nebraska-Lincoln

2003 NATIONAL ACADEMY OF EDUCATION/SPENCER POSTDOCTORAL FELLOWS

Emma K. Adam  
Adolescent Cortisol Activity in Home, School, and Peer Contexts: Cross-sectional and Longitudinal Relations with Stress, Health and Performance  
School of Education and Social Policy  
Northwestern University

William J. Carbonaro  
Racial/Ethnic Differences in College Graduation: The Lasting Effects of High School Experiences  
Department of Sociology  
University of Notre Dame

Paul K. Eiss  
Deconstructing Indians, Reconstructing the Nation: Indigenous Education in Southeastern Mexico, 1880-1940  
Department of History  
Carnegie Mellon University

Kimberly A. Alidio  
Remaking Filipinos: Race, Ethnicity and the Culture of U.S. Imperialism, 1898-1946  
Department of History  
University of Texas at Austin

Jennifer Fredricks  
Academic, Psychological, and Behavioral Consequences of Extracurricular Activity Participation  
Department of Human Development  
Connecticut College

Elizabeth A. Armstrong  
An Erotic Curriculum? A Comparative Study of Collegiate Sexual Cultures  
Department of Sociology  
Indiana University

Prudence L. Carter  
Crossing Borders: A Comparative Analysis of Race, Ethnicity, and Culture in Different U.S. and South African School Contexts  
Sociology Department  
Harvard University

Vincent Goetry  
Literacy Acquisition and Achievement in Bilinguals: A Cross-linguistic Perspective  
Faculty of Education  
Queen's University  
Kingston, Ontario

Hilary C. Barth  
Foundations of Mathematical Understanding: Early Computational Ability with Nonsymbolic Quantities  
Psychology Department  
Harvard University

Yuk Fai Cheong  
The Impact of School and Neighborhood Social Organization on the Academic Learning and Mental Health of Children and Early Adolescents in Urban Settings  
Division of Educational Studies  
Emory University

Clarissa Rile Hayward  
Cities and Citizens  
Department of Political Science  
Ohio State University

Benita C. Blessing  
The Antifascist Classroom: Education in Soviet-occupied Germany, 1945-1949  
Department of History  
Ohio University

Eric Dearing  
Poverty, Anxiety, and Child Achievement: A Secondary Data Analysis of the NICHD Study of Early Child Care  
Department of Psychology  
University of Wyoming

Jesse E. Hoffnung-Garskof  
Department of History  
University of Michigan
2003 NAE/Spencer Postdoctoral Fellows

Mary Ann Huntley
Investigating Standards-Based Mathematics Education: A Study of Middle-Grades Students’ Algebraic Thinking
Department of Mathematical Sciences University of Delaware

Felicia D. Hurewitz
Early Mathematical Literacy
Center for Cognitive Science
Rutgers, The State University of New Jersey

Andrew Jewett
American Philosophy After the Golden Age: Columbia University in the City of New York, 1904-1967
Department of History
Yale University

Carina V. Korostelina
Education for Tolerance: Multicultural Setting or Ethnic School?
Psychology Department
National Taurida University Simferopol, Ukraine

Ritty A. Lukose
Learning Modernity in a Global World: Education and Youth Culture in Kerala, India
Graduate School of Education
University of Pennsylvania

Jeff MacSwan
Understanding Language in Language Minority Education: Toward a Theory of Language in Contact
College of Education
Arizona State University

Daniel A. McFarland
Collective Action Dynamics in Classrooms
School of Education
Stanford University

Shuaib J. Meacham
The Hip Hop Literacy Project: Documenting the Traditions, Motivation, and Methods of Reading and Writing in Hip-Hop
School of Education
University of Delaware

Heidi Anne Mesmer
Textual Scaffolds for Beginning Readers: What Difference Do They Make in Developing Autonomy and Specific Literacy Behaviors
College of Education
Oklahoma State University

John M. Nieto-Phillips
Education and Americanization in New Mexico and Puerto Rico, 1890s-1940s
Department of History
New Mexico State University

Lourdes Ortega
Second Language and Literacy Development Over Time: A Synthesis of Longitudinal Research in Applied Linguistics
English Department
Northern Arizona University

Lorna Rivera
The Impact of Adult Literacy Education on Low-income Women of Color
College of Public and Community Service
University of Massachusetts-Boston

Beth C. Rubin
An Interpretive Investigation of In-Classroom Detracking Across a Variety of Diverse School Contexts
Graduate School of Education
Rutgers, The State University of New Jersey

Salvatore J. Saporito
Private Choices, Public Consequences: Private School Choices and Racial Segregation in Public Schools
Department of Sociology
College of William and Mary

Lynn M. Sargeant
Music, Education, and Society: Teaching and Learning Music and “Civilization” in Late Imperial Russia
Department of History
California State University, Fullerton

Parna Sengupta
The Molding of Native Character: Missionaries and the Education of Gender, Reason, and Religion in Colonial Bengal
Department of History
Carleton College

David Williamson Shaffer
How Journalists Find the Beat: A Cognitive Ethnography of Journalistic Pedagogy
School of Education
University of Wisconsin-Madison

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

Anthony S. Bryk
Social organization of schools and urban school reform
Center for School Improvement
University of Chicago

Steven Levitt
Economic incentives and behavioral strategies affecting corruption of standardized school testing methods and scoring
Department of Economics
University of Chicago

Wim van der Linden
Test theory and computer-based testing
Department of Educational Measurement and Data Analysis
University of Twente
The Netherlands
INSTITUTIONAL INITIATIVES

RESEARCH TRAINING GRANTS

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

Graduate School of Education
University of California, Los Angeles
Los Angeles, California

Faculty of Humanities
University of Cape Town*
Cape Town, South Africa

Teachers College,
Columbia University
New York, New York

School of Education
University of Durban, Westville*
Durban, South Africa

Division of Educational Studies
Emory University
Atlanta, Georgia

Graduate School of Education
Harvard University
Cambridge, Massachusetts

Language Development Group
University of Cape Town
Cape Town, South Africa

College of Education
Michigan State University
East Lansing, Michigan

School of Education
University of Michigan
Ann Arbor, Michigan

School of Education
University of Natal*
Durban, South Africa

School of Education and Social Policy
Northwestern University
Evanston, Illinois

Graduate School of Education
University of Pennsylvania
Philadelphia, Pennsylvania

School of Education
Stanford University
Stanford, California

School of Education
University of the Western Cape*
Bellville, South Africa

School of Education
University of Wisconsin-Madison
Madison, Wisconsin

School of Education
University of the Witwatersrand*
Johannesburg, South Africa

* Member, South African Consortium

CONFERENCE GRANTS RELATED TO RESEARCH TRAINING

Fifth Planning Retreat for RTG
Deans/Directors
School of Education
University of Michigan

Professional Development Meeting
for RTG Junior Faculty
Graduate School of Education
University of Pennsylvania

Discipline-Based Scholarship in Education: A Meeting of the Five
Spencer-Funded Programs
Arizona State University
OTHER GRANTS

Ellen S. Buchwalter  
*A Global Initiative to Promote Respect & Understanding*  
Sesame Workshop  
$6,000

Victoria Chou  
*Faculty Seminars: Leave No Child Behind*  
College of Education  
University of Illinois at Chicago  
$20,000

Kevin M. Guthrie  
*JSTOR-The Scholarly Journal Archive*  
$3,000

Sally Hillman  
*Support for the American Sociological Association’s Annual Meeting*  
American Sociological Society  
$5,000

Elizabeth Hollander  
*Creating an Infrastructure to Advance Graduate Research of Service-Learning*  
Campus Compact  
Brown University  
$50,000

Joseph P. McDonald  
*Studying the Urban High School*  
School of Education  
New York University  
$4,200

Samuel J. Meisels  
*Applied Research in Child Development*  
Erikson Institute  
$50,000

Hudi Podolsky  
*Alternative Assessments to Measure Performance of High School Students in CES and Other Schools*  
Coalition of Essential Schools  
$50,000

Julieanna L. Richardson  
*The HistoryMakers Education Institute*  
The HistoryMakers  
$5,000

Richard Rothstein  
*How Debates about School Reform Have Improperly Abstracted the Influence of Educational Institutions*  
Economic Policy Institute  
$25,000

William L. Taylor  
*Equal Opportunity in Education*  
Citizens’ Commission on Civil Rights  
$50,000

Lisa J. Walker  
*Does Education Research Shape Education Policy?*  
Education Writers Association  
$15,000

Vanessa Siddle Walker  
*Support for research work with Dr. Horace Tate*  
Division of Educational Studies  
Emory University  
$25,000

Pamela Barnhouse Walters  
*New Interviews: Education for All? Silences and Contradictions in Americans’ Policy Preferences Concerning Educational Equality*  
Department of Sociology  
Indiana University  
$5,500

Alexandra Wigdor  
*Strategic Education Research Program: Bridging Research and Practice*  
National Academy of Sciences  
$50,000

Wendy Woon  
*Changing Art Education Practice: Taking Goal 27 Seriously*  
Museum of Contemporary Art  
$15,000

PHILANTHROPIC GRANTS

Council on Foundations  
Washington, DC  
$34,600

Donors Forum of Chicago  
Chicago, IL  
$17,820

The Foundation Center  
New York, NY  
$27,500

Grantmakers for Education  
Portland, OR  
$3,000

Independent Sector  
Washington, DC  
$12,500
DISSEMINATION GRANTS

Barbara A. Hall
Special Reporting Series: Educating Latinos
National Public Radio
$50,000

John Merrow
Documentary on American Higher Education
Learning Matters, Inc.
$50,000

GOOD NEIGHBOR GRANTS

John Q. Easton
Core Research Activities for the Consortium on Chicago School Research
The University of Chicago
$499,100

Joseph Kahne and John Q. Easton
Redesigning High Schools in Chicago: Small Schools on a Large Scale - Study of the Chicago High School Redesign Initiative
Mills College, Oakland, CA
The Consortium on Chicago School Research, The University of Chicago
$499,900

Linda Lenz
Support for Catalyst: Voices of Chicago School Reform
Community Renewal Society
$180,000

Samuel J. Meisels
Planning Grant for the Work of the Chicago Public Schools Student Assessment Commission
Erikson Institute
$20,000

John Merrow
Documentary on American Higher Education
Learning Matters, Inc.
$50,000

BARBARA A. HALL
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Erikson Institute
$20,000
SPENCER-SPONSORED CONFERENCES

The Spencer Foundation periodically organizes conferences on specific topics pertaining to educational research. The purpose of these conferences is to identify and discuss topics that have not yet been explored or require further development and to develop agendas for research bearing on education that might be conducted. Conference agendas, reports, and participant listings may be found on our web site at www.spencer.org.

The Idea of Testing
April 30 – May 3, 2002
San Diego, California
and
October 10 – 13, 2002
Half Moon Bay, California

Organizing Committee:
James Gee, University of Wisconsin-Madison
Edward Haertel, Stanford University
Pamela A. Moss, The University of Michigan
Diana C. Pullin, Boston College

Needs and Opportunities in Education Research
June 25-27, 2002
Chicago, Illinois

Organizing Committee:
Thomas Cook, Northwestern University
Michael J. Feuer, National Research Council
Susan Fuhrman, University of Pennsylvania
Kenji Hakuta, Stanford University
Larry Hedges, University of Chicago
C. Kent McGuire, MDRC
Lorrie Shepard, University of Colorado at Boulder
Vanessa Siddle Walker, Emory University
GRANTEE PUBLICATIONS RECEIVED
April 2002 through March 2003

Karl L. Alexander, Doris R. Entwisle, and Susan L. Dauber
On the Success of Failure: A Reassessment of the Effects of Retention in the Primary Grades (2nd ed.)
Cambridge University Press
New York, New York, 2003

Isabel L. Beck, Margaret G. McKeown, and Linda Kucan
Bringing Words to Life: Robust Vocabulary Instruction
The Guilford Press
New York, New York, 2002

Ruth A. Berman and Ludo Verhoeven, Eds.
Written Language and Literacy: Cross-Linguistic Perspectives on the Development of Text-Production Abilities in Speech and Writing
John Benjamins Publishing Company
Philadelphia, Pennsylvania, 2002

Anthony S. Bryk and Barbara Schneider
Trust in Schools: A Core Resource for Improvement
Russell Sage Foundation
New York, New York, 2002

The Century Foundation Task Force on the Common School
Divided We Fail: Coming Together through Public School Choice
The Century Foundation Press
New York, New York, 2002

John E. Chubb and Tom Loveless, Eds.
Bridging the Achievement Gap
Brookings Institution Press
Washington, DC, 2002

Gary DeCoker, Ed.
National Standards and School Reform in Japan and the United States
Teachers College Press,
Columbia University
New York, New York, 2002

Ann Haas Dyson
The Brothers and Sisters Learn to Write: Popular Literacies in Childhood and School Cultures
Teachers College Press,
Columbia University
New York, New York, 2003

Kieran Egan
Getting It Wrong From the Beginning: Our Progressivist Inheritance from Herbert Spencer, John Dewey, and Jean Piaget
Yale University Press
New Haven, Connecticut, 2002

Howard Gardner, Mihaly Csikszentmihalyi, and William Damon
Good Work: When Excellence and Ethics Meet
Basic Books
New York, New York, 2002

R. Kenneth Godwin and Frank R. Kemerer
School Choice Tradeoffs: Liberty, Equity, and Diversity
University of Texas Press
Austin, Texas, 2002

Kathleen D. Hall
Lives in Translation: Sikh Youth As British Citizens
University of Pennsylvania Press
Philadelphia, Pennsylvania, 2002

George Hillocks, Jr.
The Testing Trap: How State Writing Assessments Control Learning
Teachers College Press,
Columbia University
New York, New York, 2002

Harry Judge
Faith-based Schools and the State: Catholics in America, France and England Symposium Books
Oxford, United Kingdom, 2001

Liping Ma
Knowing and Teaching Elementary Mathematics: Teachers’ Understanding of Fundamental Mathematics in China and the United States
Lawrence Erlbaum Associates
Mahwah, New Jersey, 1999

Robert T. Michael, Ed.
Social Awakening: Adolescent Behavior as Adulthood Approaches
Russell Sage Foundation
New York, New York, 2001

Michele S. Moses and Gary Orfield
Embracing Race: Why We Need Race-Conscious Education Policy
Teachers College Press,
Columbia University
New York, New York, 2002

Frederick Mosteller and Robert Boruch, Eds.
Evidence Matters: Randomized Trials in Education Research
Brookings Institution Press
Washington, DC, 2002

Frances Julia Riemer
Working at the Margins: Moving off Welfare in America
State University of New York Press
Albany, New York, 2001

Ron Ritchhart
Intellectual Character: What It Is, Why It Matters, and How to Get It
Jossey Bass
San Francisco, California, 2002

James E. Rosenbaum
Beyond College For All: Career Paths for the Forgotten Half
Russell Sage Foundation
New York, New York, 2001

John L. Rury
Education and Social Change: Themes in the History of American Schooling
Lawrence Erlbaum Associates
Mahwah, New Jersey, 2002
## Grantee Publications Received

<table>
<thead>
<tr>
<th>Author(s)</th>
<th>Title</th>
<th>Publisher</th>
<th>Location</th>
<th>Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Janet Ward Schofield and Ann Locke Davidson</td>
<td>Bringing the Internet to School: Lessons from an Urban District</td>
<td>Jossey-Bass</td>
<td>San Francisco, California</td>
<td>2002</td>
</tr>
<tr>
<td>Michael W. Smith and Jeffrey D. Wilhelm</td>
<td>“Reading Don’t Fix No Chevys”: Literacy in the Lives of Young Men</td>
<td>Heinemann</td>
<td>Portsmouth, New Hampshire</td>
<td>2002</td>
</tr>
</tbody>
</table>
Independent Auditor’s Report

Board of Directors of
The Spencer Foundation

We have audited the statement of financial position of The Spencer Foundation (an Illinois not-for-profit corporation) as of March 31, 2003 and 2002 and the statements of activities and of cash flows for the year then ended. These financial statements are the responsibility of the Foundation’s management. Our responsibility is to express an opinion on the financial statements based on our audits.

We conducted our audits in accordance with U.S. 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. 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 our audits provide a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of The Spencer Foundation as of March 31, 2003 and 2002 and its activities and cash flows for the years then ended in conformity with U.S. generally accepted accounting principles.

Chicago, Illinois
May 12, 2003

Altschuler, Melvoin and Glasser LLP
One South Wacker Drive, Suite 800, Chicago, Illinois 60606-3392
312.384.6000  Fax 312.634.3410  www.amgnet.com
STATEMENTS OF FINANCIAL POSITION
(In Thousands of Dollars)
MARCH 31, 2003 AND 2002

ASSETS

<table>
<thead>
<tr>
<th></th>
<th>2003</th>
<th>2002</th>
</tr>
</thead>
<tbody>
<tr>
<td>Investments, at market value</td>
<td>$333,650</td>
<td>$412,854</td>
</tr>
<tr>
<td>Cash</td>
<td>306</td>
<td>361</td>
</tr>
<tr>
<td>Accrued interest and dividends</td>
<td>65</td>
<td>65</td>
</tr>
<tr>
<td>Other assets</td>
<td>1,066</td>
<td>1,087</td>
</tr>
<tr>
<td></td>
<td>$335,022</td>
<td>$414,367</td>
</tr>
</tbody>
</table>

LIABILITIES AND UNRESTRICTED NET ASSETS

<table>
<thead>
<tr>
<th></th>
<th>2003</th>
<th>2002</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grants payable</td>
<td>$23,937</td>
<td>$33,405</td>
</tr>
<tr>
<td>Accrued expenses</td>
<td>124</td>
<td>12</td>
</tr>
<tr>
<td>Accounts payable</td>
<td>144</td>
<td>142</td>
</tr>
<tr>
<td></td>
<td>24,205</td>
<td>33,559</td>
</tr>
</tbody>
</table>

UNRESTRICTED NET ASSETS

<table>
<thead>
<tr>
<th></th>
<th>2003</th>
<th>2002</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>310,817</td>
<td>380,808</td>
</tr>
<tr>
<td></td>
<td>$335,022</td>
<td>$414,367</td>
</tr>
</tbody>
</table>

See accompanying notes.

STATEMENTS OF ACTIVITIES
(In Thousands of Dollars)
YEARS ENDED MARCH 31, 2003 AND 2002

INVESTMENT RETURNS

<table>
<thead>
<tr>
<th></th>
<th>2003</th>
<th>2002</th>
</tr>
</thead>
<tbody>
<tr>
<td>Net realized gain on sales of investments</td>
<td>$2,518</td>
<td>$79,378</td>
</tr>
<tr>
<td>Net change in unrealized loss on investments</td>
<td>(70,796)</td>
<td>(77,930)</td>
</tr>
<tr>
<td>Interest income</td>
<td>84</td>
<td>375</td>
</tr>
<tr>
<td>Dividend income</td>
<td>12,407</td>
<td>11,621</td>
</tr>
<tr>
<td></td>
<td>(55,787)</td>
<td>13,444</td>
</tr>
</tbody>
</table>

PROGRAM SERVICES

<table>
<thead>
<tr>
<th></th>
<th>2003</th>
<th>2002</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grants authorized (grant payments made net of refunds were $19,963 in 2003 and $22,509 in 2002)</td>
<td>9,639</td>
<td>12,253</td>
</tr>
<tr>
<td>Foundation administered projects</td>
<td>1,125</td>
<td>1,142</td>
</tr>
<tr>
<td>Administrative expenses</td>
<td>2,966</td>
<td>3,881</td>
</tr>
<tr>
<td>Investment management expenses</td>
<td>580</td>
<td>600</td>
</tr>
<tr>
<td>Current federal excise taxes (benefit)</td>
<td>(106)</td>
<td>437</td>
</tr>
<tr>
<td></td>
<td>14,204</td>
<td>18,313</td>
</tr>
</tbody>
</table>

CHANGE IN NET ASSETS

<table>
<thead>
<tr>
<th></th>
<th>2003</th>
<th>2002</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unrestricted net assets</td>
<td>(69,991)</td>
<td>(4,869)</td>
</tr>
<tr>
<td>Beginning of year</td>
<td>380,808</td>
<td>385,677</td>
</tr>
<tr>
<td>End of year</td>
<td>$310,817</td>
<td>$380,808</td>
</tr>
</tbody>
</table>

See accompanying notes.
STATEMENTS OF CASH FLOWS
(In Thousands of Dollars)
MARCH 31, 2003 AND 2002

OPERATING ACTIVITIES

<table>
<thead>
<tr>
<th>Description</th>
<th>2003</th>
<th>2002</th>
</tr>
</thead>
<tbody>
<tr>
<td>Change in net assets</td>
<td>$ (69,991)</td>
<td>$ (4,869)</td>
</tr>
<tr>
<td>Net realized gains on sales of investments</td>
<td>(2,518)</td>
<td>(79,378)</td>
</tr>
<tr>
<td>Net change in unrealized loss on investments</td>
<td>70,796</td>
<td>77,930</td>
</tr>
<tr>
<td>Changes in</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Accrued interest and dividends</td>
<td>65</td>
<td>112</td>
</tr>
<tr>
<td>Other assets</td>
<td>21</td>
<td>3,920</td>
</tr>
<tr>
<td>Grants payable</td>
<td>(9,468)</td>
<td>(10,256)</td>
</tr>
<tr>
<td>Accrued expenses</td>
<td>112</td>
<td>(2,980)</td>
</tr>
<tr>
<td>Accounts payable</td>
<td>2</td>
<td>54</td>
</tr>
<tr>
<td><strong>Net cash used in operating activities</strong></td>
<td><strong>(10,981)</strong></td>
<td><strong>(15,467)</strong></td>
</tr>
</tbody>
</table>

INVESTING ACTIVITIES

<table>
<thead>
<tr>
<th>Description</th>
<th>2003</th>
<th>2002</th>
</tr>
</thead>
<tbody>
<tr>
<td>Purchases of investments</td>
<td>(12,407)</td>
<td>(149,521)</td>
</tr>
<tr>
<td>Proceeds from sales of investments</td>
<td>23,333</td>
<td>130,343</td>
</tr>
<tr>
<td><strong>Net cash provided by (used in) investing activities</strong></td>
<td><strong>10,926</strong></td>
<td><strong>(19,178)</strong></td>
</tr>
</tbody>
</table>

INCREASE (DECREASE) IN CASH

<table>
<thead>
<tr>
<th>Description</th>
<th>2003</th>
<th>2002</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Increase (decrease) in cash</strong></td>
<td>(55)</td>
<td>(34,645)</td>
</tr>
</tbody>
</table>
NOTE 1 NATURE OF ACTIVITIES AND SIGNIFICANT ACCOUNTING POLICIES

Nature of Activities—The Spencer Foundation (the “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.

The Foundation qualifies as a tax-exempt organization under Section 501(c)(3) of the Internal Revenue Code and, accordingly, is not subject to federal income taxes. However, in accordance with Section 4940(e) of the Code, the Foundation is subject to a federal excise tax of 2 percent of net investment income and net realized taxable gains on security transactions, or 1 percent if the Foundation meets certain specified distribution requirements. The Foundation met the specified requirements for fiscal years 2003 and 2002 and was subject to a 1 percent federal excise tax.

Financial Statement Presentation—The financial statements have been prepared following accounting principles applicable to nonprofit organizations.

Investments—Marketable securities are carried at market value based on quoted prices. Index funds are carried based on fair values provided by the fund managers. Real estate partnerships are carried at approximate fair value, as determined by the management of the partnerships, using appraised values, and at market value, based on quoted prices. Purchases and sales of securities are recorded on a trade date basis.

Deferred Federal Excise Tax—Deferred federal excise tax represents taxes provided on the net unrealized appreciation on investments, using a rate of 2 percent. The change in deferred taxes is reflected within the change in unrealized loss on investments in the statement of activities.

Awards and Grants—Awards and grants, including multi-year grants, are considered obligations when approved by the Foundation’s Board of Directors.

Use of Estimates—The preparation of financial statements in conformity with U.S. generally accepted accounting principles requires management to make estimates and assumptions affecting the amounts reported in the financial statements and accompanying notes. Actual results could differ from those estimates.

Fair Value of Financial Instruments—Substantially all of the Foundation’s assets and liabilities are considered financial instruments and are either already reflected at fair value or are short-term or replaceable on demand. Therefore, their carrying amounts approximate fair value.

NOTE 2 INVESTMENTS

Investments at March 31, 2003 and 2002 are summarized as follows:

<table>
<thead>
<tr>
<th></th>
<th>2003</th>
<th></th>
<th>2002</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Cost</td>
<td>Market or Fair Value</td>
<td>Cost</td>
<td>Market or Fair Value</td>
</tr>
<tr>
<td>Marketable securities</td>
<td>$218,271,000</td>
<td>$212,738,000</td>
<td>$219,798,000</td>
<td>$289,963,000</td>
</tr>
<tr>
<td>Equity index fund</td>
<td>117,813,000</td>
<td>119,528,000</td>
<td>124,240,000</td>
<td>121,489,000</td>
</tr>
<tr>
<td>Bond fund</td>
<td>1,481,000</td>
<td>1,384,000</td>
<td>1,936,000</td>
<td>1,824,000</td>
</tr>
<tr>
<td>Real estate investments</td>
<td>$337,565,000</td>
<td>$333,650,000</td>
<td>$345,974,000</td>
<td>$413,276,000</td>
</tr>
<tr>
<td>Deferred federal excise tax</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>$(422,000)</td>
</tr>
<tr>
<td></td>
<td>$337,565,000</td>
<td>$333,650,000</td>
<td>$345,974,000</td>
<td>$412,854,000</td>
</tr>
</tbody>
</table>

NOTES TO FINANCIAL STATEMENTS
YEARS ENDED MARCH 31, 2002 AND 2001
NOTE 3  GRANTS PAYABLE
Grants payable consist primarily of multiyear unconditional grants that are generally payable over one to five years. Management estimates these grants will be paid as follows:

<table>
<thead>
<tr>
<th>Year</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>2003</td>
<td>$849,000</td>
</tr>
<tr>
<td>2004</td>
<td>12,067,000</td>
</tr>
<tr>
<td>2005</td>
<td>6,226,000</td>
</tr>
<tr>
<td>2006</td>
<td>2,895,000</td>
</tr>
<tr>
<td>2007</td>
<td>1,900,000</td>
</tr>
</tbody>
</table>

$23,937,000

Grants authorized are shown net of rescissions and refunds of $856,000 in 2003 and $869,000 in 2002. Payments on authorized but unpaid grants may be accelerated upon mutual agreement between the Foundation and the grantees.

NOTE 4  UNRESTRICTED NET ASSETS
Unrestricted net assets are comprised of the following amounts:

<table>
<thead>
<tr>
<th></th>
<th>2003</th>
<th>2002</th>
</tr>
</thead>
<tbody>
<tr>
<td>Principal</td>
<td>$82,203,000</td>
<td>$82,203,000</td>
</tr>
<tr>
<td>Cumulative excess of grants and other expenses over revenue (cumulative grants authorized of $319,478,000 at March 31, 2003)</td>
<td>(197,366,000)</td>
<td>(195,651,000)</td>
</tr>
<tr>
<td>Cumulative net realized gains on sales of investments</td>
<td>429,895,000</td>
<td>427,376,000</td>
</tr>
<tr>
<td>Unrealized gains (losses) in investment portfolio</td>
<td>(3,915,000)</td>
<td>66,880,000</td>
</tr>
<tr>
<td></td>
<td>$310,817,000</td>
<td>$380,808,000</td>
</tr>
</tbody>
</table>

NOTE 5  RETIREMENT PLANS
The Foundation maintains a defined contribution retirement plan covering all active full-time employees. Under the terms of the plan, the Foundation must contribute specified percentages of an employee’s salary. The plan is currently invested in employee-designated individual annuity contracts and various approved mutual funds. The Foundation’s contribution to the plan was $209,000 for fiscal year 2003 ($244,000 – 2002).

In addition, the Foundation maintains a supplemental retirement plan that allows employees to defer a portion of their pretax salaries. No contributions are made to this plan by the Foundation.

NOTE 6  COMMITMENTS
The Foundation’s lease for its office space expires on November 30, 2008. The lease contains an escalation clause which provides for rental increases resulting from increases in real estate taxes and certain other operating expenses. At March 31, 2003, the Foundation had the following commitments for base rentals under the lease:

<table>
<thead>
<tr>
<th>Year</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>2004</td>
<td>$458,000</td>
</tr>
<tr>
<td>2005</td>
<td>465,000</td>
</tr>
<tr>
<td>2006</td>
<td>473,000</td>
</tr>
<tr>
<td>2007</td>
<td>481,000</td>
</tr>
<tr>
<td>2008</td>
<td>478,000</td>
</tr>
<tr>
<td>Thereafter</td>
<td>340,000</td>
</tr>
</tbody>
</table>

$2,695,000

Rent expense was $485,000 for fiscal year 2003 ($466,000 – 2002).