

THE
SPENCER
FOUNDATION

ANNUAL REPORT

April 1, 2001 – March 31, 2002

THE
SPENCER
FOUNDATION

875 N. Michigan Avenue • Suite 3930 • Chicago, Illinois 60611-1803
Telephone: 312/337-7000 • Facsimile: 312/337-0282 • www.spencer.org

NOTE: The current members of the Foundation's Board of Directors, review committees, and staff, as well as updates of the information in this [Annual Report](#), can be found at the Spencer Foundation Web Site, www.spencer.org. The website also contains the Foundation's [25th Anniversary Report](#) (1996), the current year's [Annual Report](#), and updates of Spencer program information.

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² through February 28, 2002

³ through August 31, 2001

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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, 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. Since that time, the Foundation has authorized grants totaling approximately \$308.7 million. Its assets as of March 31, 2002, were \$414.4 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.”

REPORT OF THE PRESIDENT

Lessons Learned

Ellen Condliffe Lagemann

When I was elected President of the Spencer Foundation in April 2000, I came to the position from many years of studying philanthropic foundations and writing about the history of education research. It struck me that leading Spencer would provide a wonderful opportunity to put into practice and to test ideas and conclusions I had reached from a comfortably removed perch within academe. My expectation was more than fulfilled. Although my time at Spencer was relatively short, owing to my decision to accept the Deanship of the Harvard Graduate School of Education, I learned a great deal and thought I would describe some of that as my report on the Foundation's activities for the past year.

Usable Knowledge

Pretty much anyone involved in education knows that there is a wide gulf between theory and practice. Lamenting that divide is a common mantra at professional meetings. Despite that, I found myself confronted with this problem in a new way at Spencer.

When I arrived at Spencer, spending was at an all-time high. As I contemplated how we would ensure that we met our payout requirements, I found myself torn between admiring some of the cutting edge scholarship the Foundation had supported and wondering what difference that scholarship had made to efforts to remediate some of the difficult problems associated with actually fostering learning for *all* children in the nation's schools. In many instances, one could point to Spencer-supported work that provided important new understandings about child development or teacher pedagogical knowledge or some other important topic. In many instances, too, one could point to grants that enabled young scholars to launch their careers, moving on subsequently to large, often federally funded projects. All this was extremely valuable. But my question continued to nag me. How could Spencer identify and support research that might go beyond fostering understanding and nurturing young scholars to identify and support research that might concretely enhance opportunities to learn?

In pursuit of that question, I realized that we needed to do some hard thinking about the kinds of knowledge that are essential to effective education. By tradition, Spencer has tended to support research that is driven by one or more of the disciplines, usually the social and behavioral science disciplines. Often, too, it has supported work that combines disciplines in order to get at educational problems that are too complex and multi-faceted to be well understood from the perspective of a single discipline. In some instances, such work has been carried out by teachers and other practitioners. Despite this, on examination it became clear that Spencer had not supported a lot of work that sought to translate the findings of research into the tools, texts, and tests educators actually need. My thinking about this is described in more detail in a memorandum I wrote for the Spencer Board of Directors entitled "Usable Knowledge in Education."¹ With their concurrence, we decided to make usable knowledge one of several foci for Spencer's grant making.

The logic for this seemed irrefutable, and yet, as always is the case, carrying it out is more complicated than we had anticipated. There are relatively few scholars, or practitioners, for that matter, who know how to develop

¹ This paper can be found on the Spencer web site (www.spencer.org). I took the phrase "usable knowledge" from the title of a book by David K. Cohen and Charles E. Lindbloom – *Usable Knowledge: Social Science and Social Problem Solving* (Yale University Press, 1979).

research findings into educational materials. Many people are involved in developing educational materials. But few of them directly ground their work in solid research. There are few incentives to encourage scholars to undertake such work. Universities tend to reward and tenure people for publications, not for design work in schools and other educational settings like museums or after-school centers. Universities also have a host of policies that make such work difficult. Although institutional review panels are necessary to protect the rights of research subjects, they can also make it inordinately difficult to conduct research that involves children – and this situation is, if anything, becoming worse. Last but not least important at a time of stock market decline, translating research findings into educational materials, testing and evaluating them in practice, and refining them, or creating teams of scholars and practitioners who can co-construct the materials needed to improve reading or mathematics in a particular setting is extremely expensive.

Having realized that there is a set of complicated problems that have made it difficult to generate usable knowledge, we decided to learn more about those problems and their interconnection (see page 11 for a brief description of how we have been going about this). We hope these efforts can inform the field and lead to concrete efforts to build capacity for this kind of research, design, and development work, which the field so desperately needs.

Professional Preparation

Since 1994, Spencer has been providing block grants to schools of education to help them support students preparing for careers in education research. Referred to as the Research Training Grant (RTG) Program, this program also offered me a number of new insights into what philanthropic foundations can and cannot do.

As I talked with Spencer staff, visited the various RTG sites, read reports generated by the different RTG site coordinators, and met with the deans and faculty of these institutions, I was struck by a phenomenon that is unusual in professional education. No two schools of education prepare education researchers in the same way. Can you imagine that being the case in medicine, law, or engineering? In education, there are no standard requirements. There is no overlap in the literature read and mastered. There is no agreement about what a doctoral student should know and be able to do at the end of his or her doctoral preparation. It struck me that this situation was connected to the lack of a coherent agenda for the field as a whole and to the lack of common standards across publications and professional associations. Although I value differences and do not believe there is “one best system” of education research preparation, I think this situation needs to be changed if education research is to become a more powerful tool for understanding and improving educational practices.

The problem with this conclusion is that it is not readily apparent how to foster more coherence. As I discovered in writing *An Elusive Science: The Troubling History of Education Research*, people have been talking about this for more than one-hundred years. Libraries are full of reports about how educators and scholars of education can be better educated and evaluated and no report or study that I know of has had much lasting effect. Since Abraham Flexner wrote his famous report about medical schools in 1910, people have called for a Flexner report for teacher education. Heeding this call, several foundations have commissioned such reports but none has had the apparent impact that Flexner’s study had.

Why is that? The Flexner report was successful because there was a pre-existing movement toward the reform of medical education. Not only at the leading institutions like Harvard and Johns Hopkins, but also at small, local and regional medical colleges, there were efforts in place to raise the funds necessary to introduce

more laboratory study followed by clinical practice. Although the Flexner Report is often said to have initiated changes in medical education, it, in fact, ratified them. The situation in education today is very different. As I said, there is little consensus except about very vague and bland abstractions. We all believe, for example, that education researchers-in-training should be able to think critically and write well. Like excellence, who could be against that? Beyond that, there is little agreement.

Convinced, for this reason, that a commission or even a single-authored report would be more likely to add a volume to a library shelf than to mobilize significant reform, I began to talk with my colleagues at Spencer about what we might do. The result was the formation of the Institutional Research Group (IRG), (see pp. 23), which is working to identify and disseminate information concerning best practices. The hope is that discussion of such practices in various gatherings of peers – meetings of deans, faculty members across RTG institutions and within RTG institutions, faculty and administrators from institutions not currently involved in the Spencer RTG Program – will begin to build the agreements that may move the field. This strategy is purposefully modest, assuming that slow, but steady efforts will yield more than a more dramatic volley.

It is also important to recognize that the lack of standards for education research, which is cause and effect of a lack of common assumptions about doctoral preparation, is not a problem Spencer alone can address. This must also be a concern for other foundations and, most of all, for the American Educational Research Association (AERA). The National Academy of Sciences – National Research Council (NAS-NRC), under the leadership of Bruce Alberts and Michael Feuer, has contributed to discussion of standards through its sponsorship of the committee that wrote Scientific Research in Education. And the National Academy of Education (NAE) in partnership with the National Research Council is developing a report about education research that will help identify good research. All these efforts are moving in the right direction and must be sustained and magnified.

Core Support

Having been begun in 1994 and then expanded in 1997, the RTG Program will come to a close in 2007. My logic in recommending this to the Spencer Board of Directors centered on the importance of not having the RTG institutions become dependent on Spencer funding for doctoral students. With this in mind, we alerted the RTG deans to the Foundation's decision a full five years before it would go into effect and invited them to use the remaining Spencer funds in ways that would help them raise additional new funds.

Not surprisingly, all of the deans were gracious when we phoned them with what had to be bad news. Interestingly, however, they were more candid at our annual deans retreat, which was held in February 2002 in Santa Fe. Almost to a person, the deans expressed concern about the loss of the Spencer funds because they have had great difficulty raising this kind of money. To paraphrase one of them, donors appear all the time with their own special interests or projects, but few of them simply want to support our core operations.

I found this comment interesting because it ties in to a tension endemic to philanthropy. To what extent should philanthropists try to drive the agenda of an institution with their own priorities? To what extent should they feel an obligation to help the institutions with which they work to advance their own, self-generated priorities? Put another way, to what extent should foundations or donors help to cover the expenses of the institutions to which they grant funds? My sense is that, over the years, foundations have become more and

more directive about their giving, leaving many institutions, including the RTG institutions, scrambling to find support for their core operations. I am not sure what the answer to this is, but I do think it is a tension in the field that requires careful thought.

Chicago School Reform

Spencer has always been a national foundation located in Chicago. Indeed, Spencer has taken its role as a citizen of Chicago seriously. But unlike most local foundations, it is limited in the funds it can commit to local projects. This sometimes creates the impression that the Foundation is uninterested in the problems of the Chicago schools, which is most certainly not the case.

To ease this bind, we have spent a good deal of time and attention searching for non-financial ways through which we could help the Chicago Public Schools. We took the lead in hosting a reception for the new leadership team appointed by Mayor Richard Daley in the summer of 2001. Foundation staff have played a leading role in helping to plan Chicago's High School Redesign Initiative and efforts by district leadership to build research capacity within the school system. We arranged for a team of Chicago administrators to visit the San Diego schools to observe the way they are approaching professional development and we brought Richard Elmore of the Harvard Graduate School of Education to Chicago to work with the administrative team. We also continue to support the research efforts of the Consortium on Chicago School Research and the *Catalyst* news magazine.

The Humanities and Education

Over the years, Spencer has been an important supporter of work in the humanities pertaining to education. Historians and philosophers of education treasure the Spencer Foundation because it is almost the only place they can go to find support for their work. That so few foundations are interested in the history and philosophy of education is unfortunate, I think. It is from people working in these fields that we learn to step back and reflect on where we have been, where we are going, where we want to go, and where we should go.

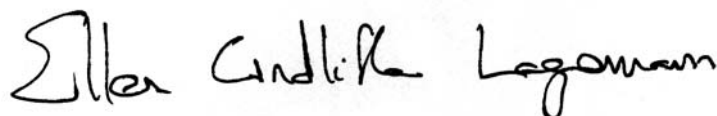
Questions of purpose are not often asked today because educational problems are increasingly seen in technical terms. We are more inclined to ask how one can improve student outcomes than we are to ask *what* outcomes would be the most appropriate. We are focusing intently on improving the teaching of reading, mathematics, history, and science in elementary and secondary schools, which is vital to do, but we are not talking intently enough about matters of character and citizenship. This is too bad in a world that is increasingly challenged by matters of diversity and globalization.

With this in mind, Spencer made an unusual grant to allow a group of philosophers from Stanford University and the University of Illinois at Urbana-Champaign to create an institute that will meet every summer for three years. Bringing together faculty from a number of different schools of education as well as graduate students from across the nation, the institute has two central purposes: first, to allow students to have a richer graduate education than could be had only at their home institutions, where there tends to be only a single philosopher of education; and, second, to foster the development of a research agenda among all members of the group. During the academic year, students and faculty will stay in touch as a virtual community. If the philosophers' institute is a success, it might become a model strategy for strengthening important areas that are in need of a boost.

Moving On

The Spencer Foundation has a wonderful staff. My Spencer colleagues excel not only at reading and evaluating proposals, but also at working with the fellows in our fellowship programs, organizing and running conferences, editing publications, and doing all the behind-the-scenes things – like writing checks, keeping track of the books, keeping computers and web sites up and running, and answering phones and mail – that are necessary to keep the Foundation operating at its peak. When I was invited to become Dean of the Harvard Graduate School of Education, I therefore faced an extremely difficult choice. I enjoyed working with my staff colleagues immensely and also with the Spencer Board of Directors, who take their responsibilities with great seriousness and who are disciplined in the best sense of the word. The people and traditions that are the Spencer Foundation make it a very special institution that is engaged in work that matters mightily to the various worlds of education. Although deciding to leave Spencer was difficult, I remain grateful to the staff, the Board, and the Foundation’s grantees and friends for a stimulating and productive two years.

The Board will soon announce the election of a new president. I look forward to helping that person in any way I can. I also look forward to coming back to Chicago, this time with hat in hand.

A handwritten signature in black ink that reads "Ellen Condliffe Lagemann". The signature is written in a cursive, flowing style.

Ellen Condliffe Lagemann

REPORT ON RESEARCH GRANTS

Directions, Highlights, and Grant Application Procedures

The support of basic and applied research about 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 somewhat 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 seven and ten 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 these we requested a much smaller number of full proposals. These invited full proposals were carefully reviewed both internally and externally, and ultimately we were able to provide funding to only a fraction of them. The Foundation strives to provide

USABLE KNOWLEDGE

Shortly after assuming the Presidency of the Spencer Foundation in 2000, Ellen Condliffe Lagemann indicated that she was interested in expanding the Spencer Foundation's role in bridging the gap between research and practice. Towards this end, she authored a concept paper outlining her perception of the challenges associated with this kind of work and announced the initiation of what became known as the Usable Knowledge Initiative.

To date, the Usable Knowledge Initiative has focused on developing more fully the concept of what constitutes usable research and documenting the models that produce it. This has involved talking with researchers across the disciplines, in schools of education, in non-profit research organizations, and with practitioners in schools to identify examples that demonstrate how research can inform and shape of projects that are producing knowledge that is usable.

In addition to surveying the landscape, the Foundation convened a diverse group of researchers working in the field of education technology at NYU in early March 2002 to discuss their work. During this fascinating two day conversation, participants offered a variety of recommendations about what the Foundation should do to support its new initiative and made several insightful observations:

- Generating usable knowledge is hard, messy, and requires an interdisciplinary team of researchers who are willing to forge genuine collaborative partnerships with practitioners;
- Usable knowledge is the product of an iterative, circular research and development process characterized by creating or discovering new knowledge that addresses problems in practice, translating the knowledge into deployable tools, resources, and frameworks, transferring the knowledge, assessing its effectiveness, and using that data to make additional knowledge discoveries that feed back into this process; and
- The dissemination of usable knowledge cannot be achieved on a large scale by traditional non-profit organizations. Innovative collaborations with diverse partners is essential.

These efforts culminated in the production of a report delivered to the Spencer Board at the June 2002 meeting. The Board expressed interest in the Usable Knowledge Initiative and instructed staff to continue developing their ideas in consultation with other researchers from around the country who are committed to this kind of work.

REAL SCIENCE LEARNING

We all remember dreading the boredom of classes where rote learning was demanded on a daily basis. One of the appeals of progressive education is the promise of engaging a child's interest in a way that is both fun and productive. This has been an especially elusive goal in science classes, where children are required to master ever larger bodies of information. One of the challenges has been taking advantage of the natural curiosity and enthusiasm children often exhibit in natural phenomenon and harnessing it in the service of science. Drs. Beth Warren and Anne Rosebery of TERC, an independent education research and development organization, have decided to examine ways of doing this. Working with a group of experienced teacher-researchers, they have planned a series of design experiments to test ways of permitting students to compare "everyday" and scientific explanations of various events. They intend to "develop in-depth interpretations of how students take up practices of comparative inquiry, what they see as conceptually and linguistically significant in different accounts, and how they reason about relationships among different accounts." At the end of each experiment, students will be tested against important benchmarks of science learning from national and international assessments so that the insights they gain from these exercises can be compared to those achieved by other students. In this way, Warren and Roseberg intend to test the proposition that "real" science can be learned by starting with the observations that children make about the world around them.

notice of funding decisions within six months of the receipt of full proposals.

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 a single year. In many cases, these projects represent pilot studies or small scale research ventures 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 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 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.

Finally, 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 below.

AFRICAN AMERICAN ACHIEVEMENT IN HIGHER EDUCATION

There is a great deal of publicity about some African American students resisting academic achievement, especially when associating with peers in large urban high schools. But what about high achieving Black students in other settings? Relatively little attention has been given to the culture of academic and social achievement in elite African American educational settings, where a tradition of accomplishment has long been upheld. Dr. J. Lorand Matory, a Harvard University anthropologist, plans to spend more than a year on the campus of Howard University interviewing and observing students, faculty, and administrators to begin addressing this question. Matory plans to devote special attention to foreign born Black students and their influence on the institution, the cultural atmosphere of the campus, and the attitudes of other students. His goal is to identify what he suspects is an underlying ethic of achievement and to ascertain some of the ways that it is transmitted in particular institutional settings. His research strategy includes interviews with Howard alumni both in the U.S. and abroad intended to locate networks of influence and cultural diffusion. In this way, he hopes to illuminate some of the ways in which ethnicity and attainment have evolved in recent decades and to provide a clearer indication of their possible future paths.

Application Guidelines for Research Grants

Major Research Grants

The Foundation's Major Research Grants Program supports research projects requiring more than \$35,000. Grants typically range from less than \$100,000 to slightly more than \$400,000. 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 school district, a college or university, a research facility, or a cultural institution. Researchers must also have an earned doctorate in an academic discipline or professional field and/or appropriate current 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 significance, and the new knowledge expected to result from it;
- a concise summary of the research methodologies, modes of analysis, and/or instruments that the project will employ;
- a brief review of relevant research literature;
- a clear identification of the principal investigator(s) and a clear definition of the roles 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); 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.**

LEARNING TO READ IN CHINA

Reading is a major issue in the United States today, but it is an important question in other countries as well. One such place is China, where tradition called for students to memorize thousands of intricate characters in order to achieve proficiency. The challenge of reading instruction in China, consequently, is to find ways of codifying characters so that they can be learned more efficiently and effectively. This task has been undertaken by Dr. Richard Anderson and his team of collaborators at the University of Illinois-Urbana Campaign and the Peking Normal University in China. Working over a period of years, Anderson and his colleagues have developed a number of strategies for distinguishing between various types of characters, based both on ideographic and phonetic properties. They have tested these strategies in schools in different parts of the country, and now are at work on developing reading texts, primers and other materials to use in Chinese elementary schools. It is a project that has gained the attention of Chinese educators and government officials as holding the potential to revolutionize the teaching of reading in a society where traditional methods of instruction have long predominated. Given the fact that some twenty five million children enter school each year in China, representing one quarter of the world's population, this is a significant undertaking indeed!

Small Research Grants

The Foundation's Small Research Grants Program supports short-term research projects (one year 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. Ordinarily, small grant researchers must be currently affiliated with a school district, a college or university, a research facility, or a cultural institution. Researchers must also have an earned doctorate in an academic discipline or professional field and/or appropriate current experience in the teaching profession.

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 one year. Please note that the Foundation does not pay indirect costs in the Small Research Grants Program. Researchers seeking support for their doctoral dissertations 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;
- the new knowledge about education expected to result from the project;
- the potential contribution of that new knowledge to the improvement of education;
- 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; and
- the role of the researcher(s).

Attachments should include:

- a one-paragraph summary of the project, written for the interested informed lay person, highlighting its significance;
- a detailed budget for the project;
- approval of the budget from the appropriate financial officer of the institution;
- the full curriculum vita(e) of the principal investigator(s); and
- phone number(s), fax number(s) and the email address(es) where the 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.**

INTELLECTUAL PROPERTY RIGHTS POLICY

The Spencer Foundation seeks both to support and disseminate exemplary research about education, broadly conceived. To enhance the Foundation's capacity to disseminate the research it supports, our Interactive Technology staff has been developing the Spencer Foundation web site (www.spencer.org). We now plan to post more examples of outstanding research in the form of article abstracts, book chapters, and report summaries, along with links to authors' personal web pages, publishers, and other distributors of research. In this way, we hope to help our grantees reach broader audiences and become even more effective at bringing their work to the attention of other scholars, policy makers, and practitioners. If, for some reason, one of our grantees has not been able to publish his or her research independently, and we judge this research to be of high quality, we will work with that grantee to "publish" his or her research on our web site. Eventually, we hope that the Spencer Foundation web site will be a valuable research tool for all those interested in education.

To facilitate this effort, Spencer now asks its grantees and their sponsoring institutions to sign an intellectual property rights agreement. This agreement protects a grantee's rights to the works generated with Spencer Foundation funds, but also guarantees the Foundation the right to disseminate works that, within a reasonable time, have not been published in other venues. It also guarantees the Foundation the right to publish excerpts of up to 15% of a particular work that results from its grants. We expect to work closely with our grantees to implement this policy, which we hope will enrich the education research community generally and directly assist the scholars we support.

REPORT ON FELLOWSHIPS

Directions, Highlights, and Grant Application Procedures

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 researchers with financial resources needed to support full-time scholarly work and access to professional communities.

Across all fellowship programs, the interdisciplinary character of the cohorts of fellows reflects the Foundation's aim to develop the highest level of research scholarship in education by building a strong community of scholars, both from traditional social science disciplines and departments and schools of education. 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 many fields. 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 remains committed to attracting scholars to its fellowship programs from a variety of disciplines who can bring a diversity of perspectives to bear on the complex and difficult issues related to educational improvement.

Within fellowships, the Foundation has designed programs of support and professional development for scholars at different stages of their professional lives. Two fellowship programs, the Spencer Dissertation Fellowship Program and the Advanced Studies Initiative, are administered directly by the Foundation. 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 500 to 600 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 2002–2003 fellows are listed on pages 29–30.

The **Advanced Studies Fellowship Initiative** was designed to assist postdoctoral scholars, usually within five years of receipt of degree, by strengthening their capacities as educational researchers and enhancing their professional networks. Two awards existed under Advanced Studies: Research Group awards and Institute/Seminar awards. Research Group multi-year grants supported the design and operation of postdoctoral fellowship programs at host institutions for cohorts of early career scholars. Institute/Seminar awards were short-term grants awarded to groups of early career scholars to support workshops, seminars, or conferences of their own design. The Foundation will not accept any new proposals under this initiative in the coming year. Programs authorized during the 2000–2001 fiscal year are listed on page 30.

Begun in 1996, the **American Educational Research Association (AERA)/Spencer Pre-Dissertation Fellowship Program** is designed to develop a cadre of doctoral students who are in the early stages of their

professional studies. The program is administered by AERA. Each year, fifteen to eighteen fellows, from education as well as the disciplines, are selected from a pool of approximately 200 applicants. Fellows receive stipends of up to \$16,000, plus \$4,000 in travel funds. Fellows use their travel funds to meet with mentors outside of their home institutions. They also attend two three-day Institutes designed to increase their expertise as researchers and to introduce them to the work of more experienced scholars. Fellows for 2001–2002 are listed on page 30–31.

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 with other education researchers. In recent years, former fellows have also had the opportunity to apply for small grants to support collaborative activities with other Fellows. The 2002–2003 fellows are listed on pages 31–32.

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 2001–2002 are listed on page 32.

Additional information is available on the Foundation's website, at www.spencer.org. In addition, we welcome questions or concerns 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 below.

Dissertation Fellowship Program for Research Related to Education

The Dissertation Fellowship Program seeks to encourage a new generation of scholars from a wide range of disciplines and professional fields to undertake research relevant to the improvement of education. 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 intended to support completion of the dissertation and are to be expended within one or two years in accordance with the work plan provided by each candidate in his/her application. Fellows may not accept employment other than as described (if any) in the application, nor may they accept other awards providing duplicate benefits without the written permission of the Spencer Foundation.

Application Procedure. Application materials may be requested from the Foundation or downloaded from the Foundation's website after July 1 of the year prior to the year in which the fellowship is to take effect. Fellowship applicants must request current application forms and instructions by October of the year prior to the year in which the fellowship is to take effect. Students 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.

Inquiries concerning the Dissertation Fellowship Program should be addressed to: **Dissertation Fellowship Program, The Spencer Foundation, 875 North Michigan Avenue, Suite 3930, Chicago, Illinois 60611-1803.** Application materials may be downloaded from the Spencer website: www.spencer.org.

AERA/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, DC 20036.**

NAE/Spencer Postdoctoral Fellowship

Administered by the National Academy of Education (NAE), 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.**

Support for Scholars at the Center for Advanced Study in the Behavioral Sciences

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

Inquiries should be addressed to: **Director, Center for Advanced Study in the Behavioral Sciences, 75 Alta Road, Stanford, California 94305-8090.**

DISSERTATION FELLOWS' SIGNIFICANT QUESTIONS

Thirty advanced doctoral students from nineteen institutions were named Spencer Dissertation fellows for 2002-2003. 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 **teaching, learning, and educational practice** at the K-12 level. One study examines children's acquisition of mathematical representations. A student's socialization into school learning involves many transitions, including the student's socialization into mathematics learning. Becoming a mathematics learner entails learning not only mathematics concepts, but also learning how to communicate and represent mathematical ideas through words, symbols, images, and objects. Using data collected in first grade classrooms, Lucia Flevares of the University of Illinois, Urbana-Champaign focuses on teachers' verbal and non-verbal communication of mathematical ideas and the relationship of these communicative interactions to the development of mathematics learning in young children. Flevares hypothesizes that with teachers' guidance, students can develop both a facility with canonical forms of mathematical representation and an understanding of symbolizing systems to create new representations. The study sheds light on actual teaching practice and highlights ways in which student learning of mathematics can be promoted.

Other dissertations this year examine issues related to the **professional development and career trajectories of K-12 teachers**. One study focuses on the emphasis on "teacher quality" in contemporary debates about teacher preparation and educational reform and asks, what do we mean by "quality" and why has it become so central in the national discourse about education? The author, Jenifer Blaxall Buice of the University of Chicago, contends that the reasons for our preoccupation with teacher quality, coupled with unresolved debates about how to produce it, are rooted in contradictions in the purpose of liberal education. She argues that as long as the purposes of education remain unresolved – to produce a broadly egalitarian society or a stratified meritocracy – questions central to the success of public education will continue to be unanswerable. Conducting ethnographic fieldwork in New York City, she investigates how images of teaching performance are put into practice in teacher preparation programs (both traditional and alternative) to interrogate how teacher "quality" comes to be defined and inculcated into new recruits in the profession. She also explores the way the media represents the crisis in U.S. education and, concomitantly, their formulation and dissemination of the "problem." Her work probes the discourse of teacher quality to reveal other political and moral concerns indexed by this powerful ideological construct – race and inequality, human and civic responsibility, life chances, and the existence or myth of meritocracy in America – within and beyond the realm of education.

Several of this year's fellows focus their research on **language and literacy** issues and the policies and politics of language revitalization. For example, in an ethnographic study of students' literacy development at a bilingual school for the deaf in New Zealand, Yael Biederman of the University of California, Berkeley examines the processes by which deaf children use sign language, their first language, to learn to read and write in a second language. Through analyses of the strategies deaf students employ to learn a written language through a visual-gestural language, this study will shed light on deaf children's literacy learning and inform the development of effective teaching practices to help improve the historically low educational outcomes for this population.

Several research projects this year address questions of **racial/ethnic difference** and the experience and negotiation of racial/ethnic identity. In a study of the experiences of twenty-four Mexican-Americans in higher education, one dissertation asks the question, how do Chicana and Chicano educators orchestrate or negotiate activism, identity, and ideology within the realm of educational institutions that are often alienating? Luis Urrieta, Jr. of the University of North Carolina at Chapel

Hill explores how activism and intellectualism can be conjoined and how Chicanos and Chicanas achieve educational success through practices of identity negotiation and orchestration. Urrieta's analysis reveals the ways that Chicana/Chicano activist-oriented educators find of adapting to their institutional settings and thriving while maintaining strong community ties. This work helps illuminate the means by which "successful" minorities orchestrate multiple and hybrid identities in response to changing contexts while remaining committed to social change. Urrieta argues that multiplicity and hybridity of identity need not be disabling, but rather can be a source of possibility and opportunity.

Other dissertation research this year is focused on issues of **social policy, politics, and educational reform**. One study examines the political and legal development of "racially neutral" educational policies, investigating their historical antecedents, current political rationale, and documented impact on the desegregation of students in urban schools. This research explores how an ongoing, twenty-year-old court order for integration in the San Francisco Unified School District has been dramatically altered by a 1998 amendment requiring that all enrolled students be placed in the district's school choice system without consideration of their racial/ethnic status. Through case studies, Kristin Crosland of the University of California, Los Angeles argues that this turn of events forces the district into a "policy paradox." In fact, as she documents, this recent amendment decreeing "colorblind" student assignment has facilitated a pattern of resegregation throughout the district that has contributed to unequal educational outcomes across racial/ethnic groups. The research illustrates how choice reforms, presented as policies to bring "excellence for all," are producing some disparate results, forcing the district to slightly revise, compromise, or even surrender equity programs that court orders had previously secured.

Another study investigates Indian educational reform in Minneapolis and St. Paul. Relying on both oral history interviews and archival research, Julie Davis of Arizona State University examines the history of two American Indian alternative schools founded in 1972. The author argues that these institutions, by means of culturally-focused educational philosophies and curricula, and community-based administrative control, fostered the survival of Native cultures and communities. Her work advances our understanding of the Indian educational movements that arose with the push for Indian rights and self-determination in the 1970s, and contributes insights to contemporary debates about public education, charter schools, and Indian educational policy.

Several of this year's fellows focus their research on **social and cultural environments and educational achievement**. One study investigates the effect of characteristics of students' residence environments on their academic performance. Using undergraduate data, Jennifer Foster of the University of Maryland analyses the extent to which "peer effects," or the social context in which people learn, may have an impact on levels of learning. The implications of this study are quite broad. Peer groups are at the heart of a broad range of policy debates, including school choice, vouchers, tracking, and school desegregation. The utility of much of the empirical evidence on peer groups is limited, however, because peer groups normally form non-randomly. Foster's research addresses this research design issue by using the University's random assignment of freshmen into dormitories. Her analysis of whether a student's academic achievement is, in part, a function of the characteristics and performance of other students in the dorm thus provides powerful evidence on the importance of peer effects.

Finally, a few studies focus on the nature of **education in non-U.S. contexts**. To deepen our understandings of how educational institutions function in colonial societies, one dissertation examines the history of French schooling in Morocco between 1912 and 1956. The author of this study, Spencer Segalla of the State University of New York at Stony Brook, argues that French educational efforts were undermined by a rigid set of ideas about traditional Moroccan culture and ethnic characteristics. Changes in French educational discourse beginning in the late 1930s led educators to abandon essentialist notions of culture and race in favor of more democratic and universalist ideals. However, the essentialist notions of the earlier period had a profound influence on nationalist leaders and thus on the educational system of independent Morocco, on Moroccan national identity, and the Moroccan state. Segalla complicates our understanding of Moroccan education during this period and, in turn, challenges assumptions about colonial education, acculturation, and theories of cultural difference.

REPORT ON INSTITUTIONAL INITIATIVES

Directions and Highlights

Three institutional initiatives of the Foundation provide support for pre- and post-doctoral students interested in education issues as a means of strengthening research training and the broader education research community: 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 junior 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 new researchers in the disciplines to work on education issues. The new Spencer Institutional Research Group (IRG) complements these programs by conducting research on practices that enhance research training in education.

Research Training Grant Program

The Research Training Grant 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 and by developing strong communities of inquiry among graduate students and professors, (2) to develop a larger and stronger national community of inquiry, (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 the newest addition to the Foundation's portfolio of institutional initiatives aimed at improving research training in education. The program seeks to promote or reinforce communication and collaboration among researchers housed in different disciplinary departments across the university, or between disciplinary departments and schools or departments of education. Grants made under this program reflect the Foundation's commitment to develop scholars who can approach education problems from multiple perspectives. A small set of grants have been made to institutions that, at the Foundation's invitation, designed research and training programs aimed both at faculty and at students. The initial awards represent a mix of disciplines, thematic foci, and institutional arrangements. Proposals are accepted at the invitation of the Foundation; no new proposals will be accepted under this program in the coming year.

Russian Training and Fellowship Program

Through a grant to European University at St. Petersburg, the Russian Training and Fellowship Program aims to foster development of an emergent research community in Russia focused on social studies of education. 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 educational change. The program further supports a range of activity intended to enhance social studies of education: professional meetings and conferences, professional development activities, periodical journals, and international exchanges. New proposals for this program are not being invited at this time.

Institutional Research Group

The Institutional Research Group (IRG) was created in early 2002 to conduct research on areas of interest to the Foundation. As noted in the President's essay, the IRG is focusing its efforts on improving research preparation in education and will be conducting research aimed directly at understanding and disseminating information about good practice. This strategy complements current programs and initiatives at the Foundation, including the institutional programs described in this section of the annual report, as well as the Foundation's emphasis on producing usable knowledge.

DISCIPLINE-BASED SCHOLARSHIP IN EDUCATION: BRANDEIS UNIVERSITY

Brandeis University has no specialized graduate program or institute devoted solely to the study of education, yet scattered across the university are faculty and students conducting education research from a variety of perspectives. With the arrival of the new Discipline-Based Scholarship in Education Program, Brandeis students and faculty, in addition to their departmental affiliations, now have a second "intellectual home" centered on their common interests in education. Core elements of the program include graduate fellowships and research mini-grants, Education Mentors, an Interdisciplinary Research Seminar, faculty research grants, and a documentation study to examine the progress of these innovations. If successful, these program elements will create institutionalized ways for faculty and graduate students to learn about each others' research interests and "ways of knowing" and will ultimately increase the likelihood of collaboration about important problems in education.

The IRG's goal is to improve research training and, in the long run, education research. Through a combination of faculty and student surveys and field research at leading schools of education, the IRG will identify and describe excellent graduate training in a number of specific areas or domains (such as the content of core courses, disciplinary training, and methodological training, for example) to understand how institutional context is involved in the development and implementation of programs, and to provide guidance on how examples of good practice may be applicable across contexts.

2002 GRANTS AUTHORIZED

RESEARCH GRANTS

MAJOR GRANTS

**Richard C. Anderson, Janet S. Gaffney
and Jerome L. Packard**

*Learning to Read Chinese: Cultivating
Children's Strategic Reading*
Center for the Study of Reading
University of Illinois at Urbana-Champaign
\$421,000

**Jeanne Brooks-Gunn, Greg J. Duncan
and Jeffrey R. Kling**

*Neighborhood Influences on Children's
Education: Analysis using the Moving to
Opportunity Randomized Experiment*
Department of Economics
Princeton University
\$427,700

Charles T. Clotfelter

*Brown After 50 Years: Assessing the Impact
of School Desegregation on Interracial
Contact*
Terry Sanford Institute of Public Policy
Duke University
\$248,300

Carol S. Dweck

*Psychological Factors in Student
Achievement: A Fine -Grained Analysis*
Department of Psychology
Columbia University
\$96,500

Walter Feinberg

Religious Instruction and Moral Education
Department of Educational Policy Studies
University of Illinois at Urbana-Champaign
\$297,200

Claudia Goldin and Lawrence F. Katz

*The Race between Education and
Technology: Interrelationships between the
Economy and Human Capital in U.S. History*
Department of Economics
Harvard University
\$299,500

Lingxin Hao and Suet-ling Pong

*The Impact of Neighborhood and School
Context for Children in Immigrant Families*
Department of Education Policy Studies
Pennsylvania State University
\$299,300

Jeffrey R. Henig and Michele Moser

*Politics, Markets, and Charter Schools:
Understanding the Dynamics of Education
Reform*
Department of Political Science
George Washington University
\$390,000

Ruth W. Herndon and John E. Murray

*Proper and Instructive Education: Orphan
Apprenticeship in Early America*
Department of History
University of Toledo
\$125,400

Alan C. Kerckhoff

*Measures of Educational Attainment in
Comparative Research*
Department of Sociology
Duke University
\$44,200

William Labov

*Raising Reading Levels of Inner City
Children: A Comparative Study of Latin,
African-American and Euro-American
Struggling Readers*
Linguistics Laboratory
University of Pennsylvania
\$391,700

J. Lorand Matory

*The Other African Americans: Ethnicity
and the Changing Culture of 'Black' Higher
Education*
Department of Anthropology
Harvard University
\$97,700

William J. Reese

*The Rise of Academic Standards and Social
Promotion in America's Urban Schools*
Department of Educational Policy Studies
University of Wisconsin-Madison
\$260,650

Ann Rosebery and Beth Warren

*On Being Explicit: Toward a New
Pedagogical Synthesis in Science*
TERC
Cambridge, Massachusetts
\$426,000

**Carola Suarez-Orozco and Marcelo
Suarez-Orozco**

*The Longitudinal Immigrant Student
Adaptation Study*
Department of Human Development and
Psychology
Harvard University
\$380,800

Joseph J. Tobin

*Continuity and Change in Preschools of
Three Cultures: Japan, China, and the
United States*
Division of Curriculum and Instruction
Arizona State University
\$425,400

Alexandra Wigdor

*Strategic Education Research Program:
Bridging Research and Practice*
National Research Council
The National Academies
Washington, D.C.
\$150,000

Kenneth M. Zeichner

*Action Research and the Reform of
Teaching and Teacher Education in
Postindependence Namibia*
Department of Curriculum and Instruction
University of Wisconsin-Madison
\$203,900

SMALL GRANTS

Robert Bayley and Juliet Langman

Acquiring Academic Content and English Language Knowledge in the Middle School Science Classroom
Division of Bicultural-Bilingual Studies
University of Texas at San Antonio
\$34,950

Nancy Beadie

Beyond Human Capital: Community-Based Schooling and Economic Development in Nineteenth-Century New York, 1790-1870
Department of Educational Leadership and Policy Studies
University of Washington
\$34,800

Janine Bempechat

The Meanings of Learning, Achievement, and Motivation: A Qualitative Study of Schooling Beliefs in Urban, Low-income Adolescents
Education Matters, Inc.
Cambridge, MA
\$35,000

Anthony Berkley

The New Mayans: Case Studies in Language Revitalization
WestEd
San Francisco, CA
\$34,450

Julie Bettie

Women without Class: Race, Identity, and Achievement Among White and Mexican-American Youth
Department of Sociology
University of California, Santa Cruz
\$34,750

Robert Brooke

Writing Circles: Researching Supportive Contexts for Enthusiastic Writers
Department of English
University of Nebraska-Lincoln
\$31,000

David Brotherton

An Exploratory Study of Successful Pedagogy with Gang-Related Youths
Department of Sociology
John Jay College of Criminal Justice
City University of New York
\$35,000

Maria Charles and Karen Bradley

Gendered Pipelines? A Cross-National Study of Sex Segregation in Engineering and Computer Science
Department of Sociology
University of California, San Diego
\$32,200

Jane Childers

Joint Attention and Early Word Learning: An Examination of Caretaker/Infant Interactions in Nigeria
Department of Psychology
Trinity University
\$18,680

Ming Ming Chiu

Classroom Studies of Group Processes: How do the Problem Solving Processes of Successful and Unsuccessful Groups Differ?
Department of Educational Psychology
The Chinese University of Hong Kong
\$35,000

Mary Collins

Supporting Higher Education Pursuits for Students with Psychiatric Disabilities: A State and School Level Policy Analysis
School of Social Work
Boston University
\$34,550

Jo-Anne Dillabough

The Representation of Social Justice and Citizenship in Teacher Education
Department of Curriculum, Teaching & Learning
University of Toronto
\$32,900

Carol Donovan

Children's Writing Development and Instruction: An Examination across Genres, Grade Levels (PK-5) and School Contexts
College of Education
University of Alabama
\$30,900

Corey Drake and Susan Empson

Teacher Identity and Knowledge in Elementary Mathematics Instruction
Department of Curriculum and Instruction
University of Texas at Austin
\$35,000

Terrie Epstein

Representations of Races and Rights in United States History Textbooks, 1800-2000
Department of Curriculum and Teaching
Hunter College, City University of New York
\$35,000

Adam Fairclough

Education for Citizenship: Black Teachers and the Struggle for Equality
School of English and American Studies
University of East Anglia
United Kingdom
\$32,800

Susan Flinspach

To Raise Achievement and Promote Diversity: Socioeconomic Integration in a Southern School System
Institute of Government
University of North Carolina at Chapel Hill
\$34,210

Anne Ruggles Gere

Becoming Indian Teachers: The Self-Fashioning of Native American Women
Department of English
University of Michigan
\$34,250

Lisa Green

The Effect of Specific Linguistic Patterns in African American English on Reading Achievement
Department of Linguistics
University of Texas, Austin
\$27,500

Pamela Grundy

Race and History at West Charlotte High School
Southern Oral History Program
University of North Carolina at Chapel Hill
\$35,000

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The Effects of Self-directed Videotaped Role-play on Self-Efficacy and Communication Apprehension of Pharmacy Students in a Communication Course
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University of Arkansas – Medical Sciences
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Small Grants

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Direct and Indirect Longitudinal Effects of Parental Involvement on Student Achievement: Multi-group Latent Growth Modeling Across Ethnic Groups
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University of California, Santa Barbara
\$23,300

Susan Holloway

Managing the Transition from Preschool to Elementary School: How Japanese Mothers Support their Young Children
School of Education
University of California, Berkeley
\$35,000

Robert Hunting

Part-Whole Knowledge in Preschool Children
Mathematics Department
East Carolina University
\$32,950

Janise Hurtig and Marcia Farr

Parents Write their Worlds: A Parent Involvement Program Bridging Urban Schools and Families
Center for Research on Women and Gender
University of Illinois at Chicago
\$34,950

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Southern Ladies, New Women: Southern Women at Northern Colleges, 1865-1920
Newberry Library
Chicago, Illinois
\$22,750

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Parochial Schools and the Maintenance of Language and Culture in Old Order Communities
Department of Anthropology
State University of New York at Potsdam
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Pedagogy and Practice in Postwar Theoretical Physics: The Dispersion of Feynman Diagrams
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The Impact of Gender on Parent-Child Interactions in Immigrant Households
Department of Sociology
University of Pennsylvania
\$35,000

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Advanced Placement: Issues of Minority Access and Participation
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Texas Christian University
\$34,950

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Mentoring Research Project
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Mills College
\$35,000

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Determinants of Educational Attainment: A Cross-National Household Level Analysis
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American University in Cairo
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An Analysis of the Development and Impact of Honors Colleges at American Universities
Graduate School of Education
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Pathways to Secondary Education in Kano, Nigeria
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Cornell University
\$34,960

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Education for All on an International Stage
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Stanford University
\$35,000

Ratna Nandakumar

Dimensionality Assessment of Attitudinal Data
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University of Delaware
\$34,450

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Generating Community Situated Science Education: A Study of Case-Based Science Teacher Professional Development and Reform
Science Education Department
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Constructing Virtual Communities: First-Year Writers and Distance Education
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Ball State University
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Keeping Faith: Catholic Religious Education in the Dutch Republic, 1572-1715
Department of History
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Making Connections: US Teachers, The Education of Argentine Women, and Social Change, 1869-1900
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San Francisco State University
\$35,000

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Race/Ethnicity and Standardized Assessments
Department of Psychology
University of South Florida
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Dan Porat

From Text to Texture: History Textbooks and Students' Formation of Historical Memory
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Hebrew University of Jerusalem
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Urban Teacher Efficacy as Related to the Instruction of African-American Boys
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Personal Experiences with Literacy of Bilingual Para-Educators and their Impact on Teaching and Learning
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Charter Schools and Student Achievement in Florida
Department of Economics
Florida State University
\$21,400

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Transformation of School Principals' Professional Practices in the Midst of School Reform: A Comparative Perspective
Department of Education
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A Sociological Survey, Analysis, and Critique of Youth Interventions Operating in School-based and Community-based Sites
School of Education
University of California, San Diego
\$35,000

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Training Conflict Resolution in Schools: An Evaluation Framework and Meta-analysis
Department of Psychology
DePaul University
\$25,000

Stephen Swidler

The Place of "Place" In State-Level Instructional Reform: Vermont's Revised Standards
Center for Curriculum and Instruction
University of Nebraska-Lincoln
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Reforming Public School Governance: An In-Depth Comparative Analysis of the Governance of Six Charter Schools in New York State
Department of Educational Administration and Policy Studies
State University of New York at Albany
\$32,250

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Education for All? Silences and Contradictions in Americans' Policy Preferences Concerning Educational Equality
Department of Sociology
Indiana University
\$34,700

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Foreign Relations: A History of Study Abroad between the United States and France, 1890-1970
Department of History
Purdue University
\$35,000

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Sound Futures: The Puget Sound Adolescent Work Study
Department of Sociology
University of Washington
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Effective Strategies for Developing Students' Mathematical Understanding in Peer-Directed Groups
Graduate School of Education & Information Studies
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\$35,000

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A Research Community for Teacher Educators and K-12 Teachers
Department of Reading Education
University of Georgia
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Jessica Belanger and Marilyn Webster

Keeping Ideas In Play: Using Documentation to Inform Teaching Practice and Negotiated Curriculum
Cushman Hill Children's Center Inc.
North Amherst, Massachusetts
\$39,700

Mary Bodwell

Drafting a Dialogue in ESL: Learning to Write, Learning to Respond
Suffolk University
Boston, Massachusetts
\$40,850

Joan Cone and Elizabeth Simons

Creating a School Inquiry Community of Veteran and New Teachers and Teacher Researchers
Bay Area Coalition for Equitable Schools
Oakland, California
\$30,000

Barbara Davis and Virginia Resta

A New Voice: Supporting Novice Teachers as Researchers (Year 2)
Department of Curriculum & Instruction
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\$15,000

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Lesson Study Action Research
Bellevue School District
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\$50,000

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*A Research Community of Teacher
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Spelman College
\$50,000

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*The Use of Narrative in Language
Acquisition*
Tombstone Unified School District No. 1
Tombstone, Arizona
\$50,000

Barbara Lunsford

Practitioner Research in Writing
Gwinnett County Public Schools
Laurenceville, Georgia
\$50,000

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Chittenden East Supervisory Union #12
Richmond, Vermont
\$50,000

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*Tequio Pedagogico (Pedagogical
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Division of Language, Literacy, and
Sociocultural Studies
University of New Mexico
\$50,000

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*A Closer Look: Research and Reflection on
Project Based Learning in the Classroom*
Sunseed, Inc.
Albany, New York
\$50,000

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Lesson Study Project
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San Mateo, California
\$50,000

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Intensive Research on Practice
University of Utah
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Learning From Our Lessons
Worcester Public Schools
Worcester, Massachusetts
\$49,900

James Randels

*Intensive Research on Practice: Students at
the Center*
Crescent City Peace Alliance
New Orleans, Louisiana
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*Fostering Practitioner Research in Science
Contexts*
National Science Teachers Association
Arlington, Virginia
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*Intensive Research on Practice — Parent-
Teacher Relationships: Reflections on
Thirty-Four Years In An Urban School*
Research for Action
Philadelphia, Pennsylvania
\$75,000

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*Patagonia Schools—A Site for Inquiry and
School Improvement*
Patagonia School Districts
Patagonia, Arizona
\$50,000

Carol Viegelmann

*The Impact of Research and
Implementation of Orthographic Strategies
on Student Success in Spelling, Grades
Kindergarten-Sixth Grade*
Newark Unified School District
Newark, California
\$30,000

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2002–2003 SPENCER DISSERTATION FELLOWS

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Language, Literacy and Learning: The Role of Sociolinguistics and Ethnography of Communication in the Teaching of Linguistically and Culturally Diverse Students
School of Education
Stanford University

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The Nature of Literacy Learning in a Bilingual Classroom for Deaf Students
Graduate School of Education
University of California, Berkeley

Kara Brown

Grassroots & Globalization: Bringing the Võro-Language Movement into Estonian Schools
School of Education
Indiana University

Lecretia Buckley

Examining a High School Mathematics Department's Curricular Redesign Efforts: Its Influences, Aids, Challenges, and Resulting Accessibility to Advanced Mathematics Classes
College of Education
University of Illinois at Urbana-Champaign

Jenifer Blaxall Buice

In Search of Quality: Pedagogy and the Paradoxes of Liberal Education
Department of Anthropology
University of Chicago

Elise Cappella

The Prevention of Social Aggression in Girls: Mediators and Effects
Department of Psychology
University of California, Berkeley

Elizabeth Cascio

The Effects of Public Preschool Provision and Attendance: Evidence from Kindergarten Expansion in the South
Department of Economics
University of California, Berkeley

Carita Constable Huang

Inventing the Normal Child: Standardizing Children in the United States, 1885-1920
Department of History
University of Pennsylvania

Kristin Crosland

When Desegregation Goes Colorblind: A Policy Paradox in a Clash of Reforms
Graduate School of Education and Information Studies
University of California, Los Angeles

Benjamin Dalton

School Choice and the Racial and Ethnic Politics of Educational Reform
Department of Sociology
Duke University

Julie Davis

"Nanabozho Speaks to the Seventies: " American Indian Survival Schools in the Twin Cities
Department of History
Arizona State University

Jimmy de la Torre

Improving the Accuracy of Item Parameter Estimates Through Simultaneous Estimation and Incorporation of Ancillary Variables
Department of Psychology
University of Illinois at Urbana-Champaign

Lindsey Engle

Analogy in Practice: Short and Longer Term Implications for Learning
Department of Psychology
University of California, Los Angeles

Maisha Tulivu Fisher

Choosing Literacy: African Diaspora Participatory Literacy Communities
Graduate School of Education
University of California, Berkeley

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Learning to Represent Mathematics: The Negotiation of Meanings of Mathematical Symbols in First Grade
College of Education
University of Illinois at Urbana-Champaign

Jennifer Foster

Social Effects on College Achievement
Department of Economics
University of Maryland

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School Crisis U.S.A.: Educational Debate and Cultural Change in the 1950s
Department of American Studies
University of Texas at Austin

Julia Gwynne

Early Labor Force Experiences of Non-College Bound Youths in Chicago: The Role of Schools and Neighborhoods
Department of Sociology
University of Chicago

Susan Kardos

New Teachers in Schools and the Professional Cultures They Experience
Graduate School of Education
Harvard University

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Seeking Understanding: Models of Cognition in Medieval Literature
Department of English
University of Pennsylvania

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Servants of Democracy: Women's Work in U.S. Public Education, 1866-1902
Department of History
Northwestern University

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Centering the Margin: African-American Students and the Black Community at a Small, Predominantly White College
College of Education
Temple University

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Toward the Hermeneutic University: Learning for Meaning's Sake
Program in Philosophy of Education
Teachers College, Columbia University

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Inviting Outsiders In: The Politics of Public Information
Department of Political Science
University of Michigan

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The Nature of Race: Teaching and Learning About Human Difference
Department of Sociology
Princeton University

Philip Nickel

Moral Dependence: Epistemological and Moral Aspects of Moral Testimony
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Court-Ordered School Desegregation: Successes and Failures in Integration since Brown
Department of Economics
Harvard University

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Teaching Colonialism: French Public Instruction in Morocco, 1912-1956
Department of History
State University of New York at Stony Brook

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Orchestrating the Selves: Chicana/Chicano Negotiations of Activism, Identity, and Ideology in Education
School of Education
University of North Carolina at Chapel Hill

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Getting Ready for Reading in the Rainbow Nation: Literacy Environments and Literacy Skills of Kindergarteners in South Africa
Graduate School of Education
Harvard University

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David Kaiser

Training Scientists, Crafting Science: Putting Pedagogy on the Map for Science Studies
Program in Science, Technology and Society
Massachusetts Institute of Technology
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The Nation and Its Schools: Federal and National Strategies for Education Reform
Department of Education
Brown University
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The AERA/Spencer Pre-Dissertation Fellows are supported through a grant of \$250,000 made in the 2002 fiscal year to AERA.

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Accommodations Interns Make (AIM) for Diverse Learners
School of Teaching and Learning
University of Florida

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Multicultural Education and Curricular Development
College of Education
University of Washington

Norma Hilda Barajas

Adolescent Latina Mothers' Immigration
College of Education
University of Illinois at Urbana-Champaign

Lecretia A. Buckley

Examining a High School Mathematics Department's Curricular Redesign Efforts: Its Influences, Aids, Challenges, and Resulting Accessibility to Advanced Mathematics Courses
College of Education
University of Illinois at Urbana-Champaign

Jenifer Blaxall Buice

In Search of Quality: Pedagogy and the Paradoxes of Liberal Education
Department of Anthropology
University of Chicago

Stephanie Paulette Drye

Enhancing Pre-Service Teachers' Abilities to Effectively Educate Low-Income Students of Color
School of Education
University of Delaware

Beth Ann Hatt-Echeverria

Youth Offenders and Education
School of Education
University of North Carolina at Chapel Hill

Valerie L. Hill-Jackson

Towards Voice: An Urban Mother of Color and Her Son's Threat of Lead-Poisoning
Department of Education
St. Joseph's University

AERA/Spencer Foundation Pre-Dissertation Research Fellows

Alecia Youngblood Jackson

Mapping Subjectivity: A Feminist Genealogy of Southern Girls and Small-Town Education
College of Education
University of Georgia

Toi A. James

Adolescent Girls' Use of Mediatonal Artifacts to Facilitate Interethnic Friendships
Department of Communication
University of California, San Diego

Diane Elyse Lang

Being a Community: A Look at Learning, Ideology, and Identity as Factors that Influence Student Membership in a School Community
Department of Education
Cornell University

Dorothy Elizabeth (Betsy) McCoach

The Underachievement of Academically Gifted Students
Neag School of Education
University of Connecticut

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Language Socialization Practices in Deaf Education
College of Education
University of Illinois at Urbana-Champaign

Gustavo Perez Carreon

Self Identity Construction and Resilience of Adolescent Girls Working as Street Vendors in Mexico City: An Invisible Presence
College of Education
University of Texas at Austin

Jessi Lyn Smith

The Stereotyped Task Engagement Process: Understanding Females' Motivation for and Performance in Computer Science
Department of Psychology
University of Utah

Tracy Stevens

Narratives of Self and Other: An Ethnography of Tibetan Refugees in the U.S.
Graduate School of Education
University of Utah

Gloria S. Vaquera

Examining the Factors of Doctoral Student Departure Among Hispanics and Non-Hispanic Whites
Department of Sociology
University of New Mexico

Miguel Zavala

A Critical Reading of Classroom Discourse: Identity (Re)Production and the Labor Process in a Place Called School
Department of Education
Cornell University

2002–2003 NATIONAL ACADEMY OF EDUCATION/SPENCER POSTDOCTORAL FELLOWS

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Citizenship in the Face of Conflict: Educating Palestinian (American) Youth
Alice Paul Center for Research on Women and Gender
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Studying Education Reform as Contentious Politics
Department of Sociology
University of Southern California

Geoffrey Dwight Borman

Early Learning and the Social Composition of Schools
Department of Educational Administration
University of Wisconsin-Madison

Catherine Compton-Lilly

Reading Family Discourses: Literacy in Urban Families
Department of Education
St. John Fisher College

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Education Policy in the Cultural Realm: Do Standards, Testing, and Accountability Change the Way We Think about Education?
Center for Education
Rice University

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Teacher Inquiry as Professional Development: Improving Algebra Teaching and Learning in Urban Middle Schools
Division of Learning and Instruction
University of Southern California

Thomas Sean Dee

The Civic Returns to Education
Department of Economics
Swarthmore College

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Toward a More Refined Theory of School and Classroom Effects: A Study of the Effects of Professional Community on Instruction and Student Achievement
Department of Leadership and Organizations
Vanderbilt University

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Family Background, Cultural Capital, and Teachers' Perceptions of Students and Parents: Examining the Development of Organizational Habits in Urban Elementary Schools
School of Education and Social Policy
Northwestern University

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Communicating Values about Education across Generations of Haitian Immigrants
Graduate School of Education
Harvard University

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Cities, Suburbs, and Schools: An Historical Case Study of Metropolitan Hartford, Connecticut
Department of Educational Studies
Trinity College
Hartford, Connecticut

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The Meaning, Effects, and Development of Collective Efficacy in Diverse Urban Schools
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University of Michigan

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A Comparison of Student Learning Under Multiple Conditions: Classroom Instruction, One-on-One Human Tutoring, and Different Types of Computer Tutoring
Department of Computer Science
Carnegie Mellon University

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A New Politics of Belonging: Ethnic Solidarity Clubs in Cameroonian Universities
Department of Anthropology
Temple University

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Consequences of Parental Job Loss for Adolescents' School Performance and Educational Attainment
Irving B. Harris Graduate School of Public Policy Studies
University of Chicago

David Louis Leal

Politics and Latino Education at the Turn of the Century
Department of Political Science
State University of New York at Buffalo

Meira Leah Levinson

Civic and Multicultural Education in Minority Settings
Graduate School of Education
Harvard University

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Is "the earlier the better"? – Investigating the Effects of Earlier English Education in China
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University of Arizona

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The Role of Price in College Decisions: Implications for Aid Policy
Graduate School of Education
Harvard University

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Learning On and Off the Court: African-American High School Basketball Players Constructing Identities as "Doers" and "Learners"
School of Education
Stanford University

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Nationalism, Internationalism, and the Origins of the American Research University, 1785-1915
Department of Educational Policy Studies
University of Wisconsin-Madison

Yoon Pak

In Search of Theory as Practice: Teaching for Intercultural Understanding, 1930s-1950s
Department of Educational Policy Studies
University of Illinois at Urbana-Champaign

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Young Children's Perceptions of Teacher Practices: Implications for the Development of Reading Competence
Graduate School of Education
University of California, Berkeley

Sean Fitzpatrick Reardon

Choosing Schools, Choosing Neighborhoods: Understanding the "New Segregation"
Department of Education Policy Studies
Pennsylvania State University

Rob Reich

Educational Authority Over Children: Conflicts between Parents and the State
Department of Political Science
Stanford University

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A Study of Perfectionist Education through Emerson, Dewey, and Cavell: Reconstructing the Ethics Education
Graduate School of Education
University of Tokyo

Kyoung-Hye Seo

Teachers' Understanding of Young Children's Mathematical Thinking
Department of Curriculum & Instruction
University of Wisconsin-Milwaukee

Anna Yurevna Smolentseva

Higher Education and Employment in Russia: Recent Ph.D.s on the National and International Labor Markets
Center for Sociological Studies
Moscow State University
Moscow, Russia

Min Wang

Chinese-English Bilingual Development: Cross Language and Writing System Transfer
Learning Research and Development Center
University of Pittsburgh

2001–2002 SPENCER FELLOWS AT THE CENTER FOR THE ADVANCED STUDY IN THE BEHAVIORAL SCIENCES

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Organizational learning and linguistic anthropology
Departments of English and Linguistics
Stanford University

Marcia Linn

Education and technology
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University of California, Berkeley

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Philosophy of social sciences and education
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New York, New York

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

Division of Educational Studies
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Atlanta, Georgia

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

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School of Education
University of Michigan
Ann Arbor, Michigan

School of Education
***University of Natal**
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New York, New York

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Daniel Alexandrov

Honoraria for U.S. Participants in the summer school in Social Studies of Education

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European University at St. Petersburg
\$3,000

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Improving Participation and Completion Rates among Selected Institutions in the Colleges and Universities 2002 Study
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Support for the SSRC's September 11 website
Social Science Research Council
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\$13,500

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Center for Applied Linguistics
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National Research Council
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Qualitative Research Study of the Chicago High School Redesign Initiative
Chicago Community Trust
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Design Research on the CPS Reading Initiative: Issues of Early Implementation and the Reading Specialists' Enactment of Their Role
Center for School Improvement
University of Chicago
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Chicago, Illinois
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The Center for Dewey Studies
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School of Education
University of Chicago
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Helen Ladd

Financing Schools in South Africa
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Duke University
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Edward Lawlor

Making Social Work Work in Schools
School of Social Service Administration
University of Chicago
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Thomas Loveless

"Closing the Gap: Promising Strategies for Narrowing the Achievement Gap"
Brown Center on Education Policy
The Brookings Institution
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\$30,000

Joseph McDonald

Support for the Urban School Reform Planning Meeting
School of Education
New York University
\$18,500

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Support for a research project to study Leadership in Educational Organizations
Graduate School of Education
Harvard University
\$50,000

Andrew Porter

Support for the Wisconsin Center for Education Research
Wisconsin Center for Educational Research
University of Wisconsin-Madison
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Marcelo M. Suarez-Orozco and Carola Suarez-Orozco

The Longitudinal Immigrants Adaption Study
Graduate School of Education
Harvard University
\$50,000

RESEARCH CONFERENCE GRANT

Antonia Candela, Cesar Coll and Elsie Rockwell

Qualitative Classroom Research: What in the World Happens in Classrooms?
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Centro de Investigacion y Estudios Avanzados
Mexico City, Mexico
\$50,000

Other Grants

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*Eager to Learn: Advancing the Policy
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\$227,250

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Studying the Urban High School

May 17-18, 2001

New York, New York

Organizers:

Michelle Fine, City University of New York,
Will Jordan, Johns Hopkins University, and
Joseph McDonald, New York University

Traditions of Scholarship in Education

January 24-25, 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
Kent McGuire, Manpower Demonstration Research Corporation
Lorrie Shepard, University of Colorado at Boulder
Marshall S. Smith, The William and Flora Hewlett Foundation
Vanessa Siddle Walker, Emory University

GRANTEE PUBLICATIONS RECEIVED

Bernadette Anand, Michelle Fine, Tiffany Perkins, David S. Surrey, and the Renaissance School Class of 2000

Keeping the Struggle Alive: Studying Desegregation in Our Town. A Guide to Doing Oral History

Teachers College Press, Columbia University
New York, New York, 2002

Daniel R. Anderson, Aletha C. Huston, Kelly L. Schmitt, Deborah L. Linebarger, and John C. Wright

Early Childhood Television Viewing and Adolescent Behavior: The Recontact Study, in *Monographs of the Society for Research in Child Development* – Serial No. 264, Vol. 66, No. 1, 2001

Blackwell Publishers
Boston, Massachusetts, 2001

Kathryn H. Au

Literacy Education in the Process of Community Development in Timothy Shanahan and Flora V. Rodriguez-Brown (Eds.), *National Reading Conference Yearbook 49*

National Reading Conference
Chicago, Illinois, 2000

Charles J. Beirne, S.J.

Jesuit Education and Social Change in El Salvador

Garland Publishing, Inc.
New York, New York, 1996

Avner Ben-Amos

Funerals, Politics, and Memory in Modern France, 1789-1996

Oxford University Press
New York, New York, 2000

Barbara R. Bowman, M. Suzanne Donovan, and M. Susan Burns, Eds.

Eager to Learn: Educating Our Preschoolers

National Academy Press
Washington, DC, 2001

Pia Rebello Britto and Jeanne Brooks-Gunn, Eds.

The Role of Family Literacy Environments in Promoting Young Children's Emerging Literacy Skills, in *New Directions for Child and Adolescent Development*, Number 92, Summer 2001

Jossey Bass
San Francisco, California, 2001

Courtney B. Cazden

Classroom Discourse: The Language of Teaching and Learning

Heineman
Portsmouth, New Hampshire, 2001

Burton Clark

Creating Entrepreneurial Universities: Organizational Pathways of Transformation

Elsevier Science, Ltd.
Kidlington, Oxford, United Kingdom, 2001

John Connelly

Captive University: The Sovietization of East German, Czech, and Polish Higher Education, 1945-1956

University of North Carolina Press
Chapel Hill, North Carolina, 2000

Iva Doležalová, Luther H. Martin, and Dalibor Papoušek, Eds.

The Academic Study of Religion During the Cold War: East and West

Peter Lang Publishing, Inc.
New York, New York, 2001

Hiram E. Fitzgerald, Katherine Hildebrandt Karraker, and Tom Luster, Eds.

Infant Development: Ecological Perspectives

Rutledge Falmer
New York, New York, 2002

Susan Florio-Ruane

Teacher Education and the Cultural Imagination

Lawrence Erlbaum Associates
Mahwah, New Jersey, 2001

Ernest Freeberg

The Education of Laura Bridgman: First Deaf and Blind Person to Learn Language

Harvard University Press
Cambridge, Massachusetts, 2001

Brian P. Gill, P. Michael Timpane, Karen E. Ross, and Dominic J. Brewer

Rhetoric Versus Reality: What We Know and What We Need to Know About Vouchers and Charter Schools

RAND Education
Santa Monica, California, 2001

Merryl Goldberg

Arts and Learning: An Integrated Approach to Teaching and Learning in Multicultural and Multilingual Settings

Addison Wesley Longman, Inc.
New York, New York, 2001

Pamela Grundy

Learning to Win: Sports, Education, and Social Change in Twentieth-Century North Carolina

The University of North Carolina Press
Chapel Hill, North Carolina, 2001

Deborah Hicks

Reading Lives: Working-Class Children and Literacy Learning

Teachers College Press, Columbia University
New York, New York, 2001

Richard D. Kahlenberg

All Together Now: Creating Middle-Class Schools through Public School Choice

Brookings Institute Press
Washington, DC, 2001

Anne Meis Knupfer

Reform and Resistance: Gender, Delinquency, and America's First Juvenile Court

Routledge
New York, New York, 2001

Magdalene Lampert

Teaching Problems and the Problems of Teaching

Yale University Press
New Haven, Connecticut, 2001

Wenling Le, Janet S. Gaffney, and Jerome L. Packard, Eds.

Chinese Children's Reading Acquisition: Theoretical and Pedagogical Issues

Kluwer Academic Publishers
Boston, Massachusetts, 2002

Bradley A.U. Levinson

We Are All Equal: Student Culture and Identity at a Mexican Secondary School, 1988-1998

Duke University Press
Durham, North Carolina, 2001

Grantee Publications Received

Jane Margolis and Allan Fisher

Unlocking the Clubhouse: Women in Computing
The MIT Press
Cambridge, Massachusetts, 2002

Sarah Mondale and Sarah B. Patton, Eds.

School: The Story of American Public Education
Beacon Press
Boston, Massachusetts, 2001

Elinor Ochs and Lisa Capps

Living Narrative: Creating Lives in Everyday Storytelling
Harvard University Press
Cambridge, Massachusetts, 2001

Martin Packer

Changing Classes: School Reform and the New Economy
Cambridge University Press
New York, New York, 2001

Aaron Pallas, Ed.

Currents of Thought: Sociology of Education at the Dawn of the 21st Century
Sociology of Education - Extra Issue 2001
American Sociological Association
Washington, DC, 2001

Joel Perlmann and Robert A. Margo

Women's Work? American Schoolteachers 1650-1920
The University of Chicago Press
Chicago, Illinois, 2001

David N. Plank

Política Educacional No Brasil: Caminhos Para A Salvacao Publica
Artmed Editora Ltda.
Brasil, 2001

Alejandro Portes and Rubén G. Rumbaut

Legacies: The Story of the Immigrant Second Generation
University of California Press
Berkeley, California, 2001

Alejandro Portes and Rubén G. Rumbaut, Eds.

Ethnicities: Children of Immigrants in America
University of California Press
Berkeley, California, 2001

David Post

Children's Work, Schooling, and Welfare in Latin America
Westview Press
Boulder, Colorado, 2001

Douglas S. Reed

On Equal Terms: The Constitutional Politics of Educational Opportunity
Princeton University Press
Princeton, New Jersey, 2001

Barbara Rogoff, Carolyn Goodman Turkanis, and Leslee Bartlett, Eds.

Learning Together: Children and Adults in a School Community
Oxford University Press
New York, New York, 2001

Sophia Rosenfeld

A Revolution in Language: The Problem of Signs in Late Eighteenth-Century France
Stanford University Press
Stanford, California, 2001

Shelly Roberts

Remaining and Becoming: Cultural Crosscurrents in an Hispano School
Lawrence Erlbaum Associates
Mahwah, New Jersey, 2001

Ricardo D. Stanton-Salazar

Manufacturing Hope and Despair: The School and Kin Supports Networks of U.S.-Mexican Youth
Teachers College Press, Columbia University
New York, New York, 2001

Mitchell L. Stevens

Kingdom of Children: Culture and Controversy in the Homeschooling Movement
Princeton University Press
Princeton, New Jersey, 2001

Carola Suárez-Orozco and Marcelo Suárez-Orozco

Children of Immigration
Harvard University Press
Cambridge, Massachusetts, 2001

Carola Suárez-Orozco and Marcelo Suárez-Orozco

Transformations: Migration, Family Life, and Achievement Motivation Among Latino Adolescents
Stanford University Press
Stanford, California, 1995

Maris A. Vinovskis

Revitalizing Federal Education Research and Development: Improving the R&D Centers, Regional Educational Laboratories, and the "New" OERI
The University of Michigan Press
Ann Arbor, Michigan, 2001

Sam Wineburg

Historical Thinking and Other Unnatural Acts: Charting the Future of Teaching the Past
Temple University Press
Philadelphia, Pennsylvania, 2001


Stanton Wortham

Narratives in Action: A Strategy for Research and Analysis
Teachers College Press, Columbia University
New York, New York, 2001

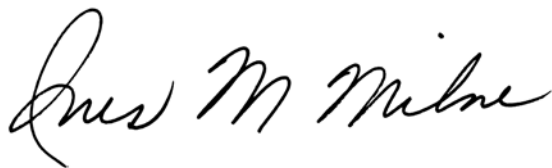
REPORT OF THE VICE PRESIDENT AND TREASURER

On March 31, 2002, the assets of the Spencer Foundation totaled \$414.4 million. These assets were invested primarily in an S&P 500 indexed equity fund managed by State Street Global Advisors, Boston, and in a broad market bond fund actively managed by Pacific Investment Management Company (PIMCO). The Finance and Audit Committee of the Board of Directors, assisted by the President, Vice President, and Treasurer, oversees the performance of the Foundation's investments, convening regularly (at meetings to which all Directors are invited) to review investment results, to discuss investment policy, and to set the asset allocation policy. A complete list of the Foundation's assets is available for inspection at the Foundation.

The Foundation made its first distributions in 1971. Through March 31, 2002 the Foundation has authorized grants and fellowships of \$308.7 million, of which \$33.4 million remains payable in future fiscal years. During the 2002 fiscal year, the Foundation made payments on grants and fellowships totaling \$24.5 million. The Board of Directors anticipates making grants at the same or slightly lower level through the 2003 fiscal year. The audited financial statements of the Spencer Foundation begin on page 40.



Paul D. Goren
Vice President



Ines M. Milne
Treasurer

Independent Auditor's Report

Board of Directors of
The Spencer Foundation
(An Illinois Not-for-Profit Corporation)
Chicago, Illinois

We have audited the statement of financial position of The Spencer Foundation (an Illinois not-for-profit corporation) as of March 31, 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 audit. The financial statements of The Spencer Foundation as of March 31, 2001, were audited by other auditors whose report dated May 15, 2001 expressed an unqualified opinion on those statements.

We conducted our audit 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 audit provides 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, 2002 and its activities and cash flows for the year then ended in conformity with U.S. generally accepted accounting principles.

Altschuler, Melvoin & Glasser LLP

May 14, 2002

Altschuler, Melvoin and Glasser LLP
American Express Tax and Business Services Inc.
One South Wacker Drive
Chicago, Illinois 60606

STATEMENTS OF FINANCIAL POSITION

(In Thousands of Dollars)

MARCH 31, 2002 AND 2001

	<u>2002</u>	<u>2001</u>
ASSETS		
Investments, at market value	\$ 412,854	\$ 392,228
Cash (including funds held by investment custodians of \$33,261 at 2001)	361	35,006
Receivable from broker		3,825
Accrued interest and dividends	65	177
Other assets	1,087	1,182
	<u>\$ 414,367</u>	<u>\$ 432,418</u>
LIABILITIES AND UNRESTRICTED NET ASSETS		
Grants payable	\$ 33,405	\$ 43,661
Payable to brokers	12	2,992
Accounts payable and accrued expenses	142	88
	33,559	46,741
UNRESTRICTED NET ASSETS	<u>380,808</u>	<u>385,677</u>
	<u>\$ 414,367</u>	<u>\$ 432,418</u>

See accompanying notes.

STATEMENTS OF ACTIVITIES

(In Thousands of Dollars)

YEARS ENDED MARCH 31, 2002 AND 2001

	<u>2002</u>	<u>2001</u>
INVESTMENT RETURNS		
Net realized gain on sales of investments	\$ 79,378	\$ 51,468
Net change in unrealized loss on investments	(77,930)	(188,581)
Interest income	375	879
Dividend income	11,621	5,527
	13,444	(130,707)
PROGRAM SERVICES		
Grants authorized (grant payments made net of refunds were \$22,509 in 2002 and \$25,182 in 2001)	12,253	45,712
Foundation administered projects	1,140	1,379
Administrative expenses	3,883	4,157
Investment management expenses	600	805
Current federal excise taxes	437	1,028
	18,313	53,081
CHANGE IN NET ASSETS	(4,869)	(183,788)
Unrestricted net assets		
Beginning of year	385,677	569,465
End of year	<u>\$ 380,808</u>	<u>\$ 385,677</u>

See accompanying notes.

STATEMENTS OF CASH FLOWS

(In Thousands of Dollars)

MARCH 31, 2002 AND 2001

	<u>2002</u>	<u>2001</u>
OPERATING ACTIVITIES		
Change in net assets	\$ (4,869)	\$ (183,788)
Net realized gains on sales of investments	(79,378)	(51,444)
Net change in unrealized gain on investments	77,930	188,581
Changes in		
Accrued interest and dividends	112	(27)
Other assets	3,920	(3,565)
Grants payable	(10,256)	20,301
Payable to brokers	(2,980)	2,550
Accounts payable and accrued expenses	<u>54</u>	<u>19</u>
Net cash used in operating activities	<u>(15,467)</u>	<u>(27,373)</u>
INVESTING ACTIVITIES		
Purchases of investments	(149,521)	(70,683)
Proceeds from sales of investments	<u>130,343</u>	<u>129,553</u>
Net cash provided by (used in) investing activities	<u>(19,178)</u>	<u>58,870</u>
INCREASE (DECREASE) IN CASH	(34,645)	31,497
CASH		
Beginning of year	<u>35,006</u>	<u>3,509</u>
End of year	<u>\$ 361</u>	<u>\$ 35,006</u>

See accompanying notes.

**NOTES TO FINANCIAL STATEMENTS
YEARS ENDED MARCH 31, 2002 AND 2001**

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 2002 and 2001 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, 2002 and 2001 are summarized as follows:

	2002		2001	
	Cost	Market or Fair Value	Cost	Market or Fair Value
Marketable securities				
Equity index fund	\$ 219,798,000	\$ 289,963,000	\$ 143,501,000	\$ 262,308,000
Bond fund	124,240,000	121,489,000		
Real estate investments	1,936,000	1,824,000	1,968,000	1,895,000
Common stocks			101,949,000	130,177,000
	\$ 345,974,000	413,276,000	247,418,000	394,380,000
Deferred federal excise tax	-	(422,000)	-	(2,152,000)
	\$ 345,974,000	\$ 412,854,000	\$ 247,418,000	\$ 392,228,000

NOTE 3 GRANTS PAYABLE

Grants payable consist primarily of multi-year unconditional grants that are generally payable over one to five years. Management estimates these grants will be paid as follows:

2003	\$ 16,302,000
2004	8,719,000
2005	4,281,000
2006	2,329,000
2007	1,774,000
	<u>\$ 33,405,000</u>

Grants authorized are shown net of rescissions and refunds of \$869,000 in 2002 and \$393,000 in 2001. 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:

	<u>2002</u>	<u>2001</u>
Principal	\$ 82,203,000	\$ 82,203,000
Cumulative excess of grants and other expenses over revenue (cumulative grants authorized of \$308,714,000 at March 31, 2002)	(195,651,000)	(189,334,000)
Cumulative net realized gains on sales of investments	427,376,000	347,998,000
Unrealized gains in investment portfolio	66,880,000	144,810,000
	<u>\$ 380,808,000</u>	<u>\$ 385,677,000</u>

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 \$244,000 for fiscal year 2002 (\$282,000 – 2001).

In addition, the Foundation maintains a supplemental retirement plan that allows employees to defer a portion of their pre-tax 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, 2002, the Foundation had the following commitments for base rentals under the lease:

2002	\$ 450,000
2003	458,000
2004	465,000
2005	473,000
2006	481,000
Thereafter	818,000
	<u>\$ 3,145,000</u>

Rent expense was \$466,000 for fiscal year 2002 (\$461,000 – 2001).

The Spencer Foundation Annual Report was prepared by the officers and staff of the Foundation. It was produced by Amerigraphx Marketing Communications, Libertyville, Illinois. The display type and text is Times New Roman.

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