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1 through January 2000
2 as of January 2000
3 as of July 1999
4 as of August 1999
5 through June 1999
6 as of November 1999
Lyle M. Spencer
1911-1968

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

Lyle Spencer established the foundation that bears his name in 1962, with the mandate of investigating ways in which education, broadly conceived, might be improved around the world. The Foundation received its major endowment in 1968 following the founder’s death. Since that time, it has authorized grants totaling approximately $248.2 million. Its assets as of March 31, 2000, were $593.3 million.
These comments are my last as president of the Spencer Foundation from which I will retire on June 30, 2000. Since I was named president in January 1991, after Lawrence A. Cremin’s sudden death in September 1990, I have had the immense privilege of working with some of the finest researchers in education and supporting their work with the Foundation’s funds. I am enormously appreciative of the opportunity presented to me. I am confident that the distinguished historian of education, Ellen Condliffe Lagemann, who will assume the presidency of the Foundation in September 2000, will find the responsibilities as rewarding as I have and that she will provide outstanding leadership.

As our founder, Lyle Spencer, advised us in his notes on the creation of the Foundation, we “tend to bet on people even more than the project itself.” In following this guidance during the last decade we have focused substantially on individuals beginning their careers in educational research. Hence, we have concentrated the resources that have come to us from the rising stock market on programs of fellowships: for recent postdoctoral recipients, for dissertation fellows, and for doctoral students in education and in education-related fields. The wisdom of those decisions will be revealed by the future productivity of these fellows as scholars, teachers, and contributors to the education community. The evidence accumulated thus far is that these recipients include many of the rising leaders of educational research, and the Foundation basks in their reflected glory.

On the whole the Foundation has also “bet on people even more than the project itself” by relying heavily in our grant making on proposals from the field, rather than ourselves designing “requests for proposals.” We have confidence that active researchers are more knowledgeable than staff in our lovely offices 39 floors above Michigan Avenue about what research needs to be done and how it should be conducted. We also depend significantly upon guidance from accomplished researchers for peer review of proposals.

Committed as we are to the wisdom of the research community, we have on our own initiative identified several geographic regions for special attention. The first is our home city of Chicago, where we have expanded a bit of our definition of “research” to include selected educational reform and dissemination projects, as well as traditional research. We feel a particular obligation to be helpful to the city that supports us, particularly as it wrestles in an imaginative manner with urban school reform. Secondly, we have pursued an initiative in the southern section of the United States where our previous efforts at outreach had yielded significantly fewer results of successful funding of educational research. During the past three years our vice president, John Williams, has spent considerable time and effort seeking appropriate funding opportunities in the South, where severe educational problems persist, but new means of alleviating them are emerging. Finally, we have extended our domestic efforts in fellowship and research training grant programs to prepare the next generation of educational researchers and leaders to two nations, Russia and South Africa, undergoing pro-
found political transformations with concomitant educational changes. Lauren Jones Young has led this effort in which we have worked collaboratively with several other U.S. foundations.

A perplexity that continues to challenge us is understanding the dynamics of educational practice. We have initiated several different efforts over the last decade to increase knowledge about how and why students learn, teachers teach, and administrators enable or hinder. We have supported studies that focus on school learning, others that concentrate on acquisition of knowledge in non-school settings, and many that combine the two. We have encouraged research from practitioners and traditional researchers, as well as combined teams of both. As we predicted when we began this focus, responding to strong encouragement from the field, the research we fund will not answer definitively or in the short-run all questions about the nuances of educational practice. Ours will be an ongoing investigation, immensely richer in capturing the reality of learning than earlier research of previous decades that attempted to explain learning isolated from the contexts in which it occurs. Much remains to be done in educational research, and I am delighted that my colleagues at the Spencer Foundation under the leadership of Ellen Lagemann will have the opportunity to continue this fine and important work.

June 14, 2000
Patricia Albjerg Graham
President
In the fiscal year ending March 31, 2000, the Foundation approved new grants and fellowships totaling $24.5 million. It made grant payments totaling $25.9 million; 52 percent of the new grant awards were for research, 19 percent for fellowship programs, 8 percent for training programs, and 21 percent for other Foundation initiatives. These authorizations and payments were allocated to the programs described on pp. 20-45 of this report. Total grantmaking increased slightly from $19.7 million in FY 1998 to $22 million in FY 1999 to $24.5 million in FY 2000.

Pleased to contribute added resources to the Foundation’s important goal of enhancing education research, we have adopted a measured approach to expansion which involves both increasing awards in existing programs and establishing new programs to meet new needs. Fiscal year 2000 constituted a period of full implementation of new programs begun during the previous two years. We are pleased with the response of the nation’s research community to our new funding programs—Research on School Reform, Conference Grants, Southern Initiative, and Advanced Studies Fellowships—and fully expect to achieve the goals we established in initiating them.

The overall grant-making approach of the Foundation remains one of responding to ideas emerging from communities of scholars and researchers concerned with education topics. Reflecting this strategy, a wide range of very important research issues and topics are addressed throughout the grant awards reported on pp. 20-45 of this annual report. The Foundation also continues to rely upon peer review mechanisms to reach decisions about individual proposals and upon advisory committees for more general assistance in formulating, planning, and assessing grant and fellowship programs. Consistent and reliable cooperation from expert scholars and researchers from the many different fields and disciplines we support enables the Foundation’s “field initiated” strategy to work very successfully. We also continue to rely upon the wisdom and leadership of our Board of Directors for charting a future course for the Foundation and establishing policies for day-to-day operations.

Among the Foundation’s many accomplishments over the past year, a few stand out. We awarded $750,000 to the University of Cape Town in South Africa for graduate student fellowships, and we anticipate a similar grant to the European University at St. Petersburg in Russia, enabling leaders and faculty of these two institutions to inaugurate new Ph.D. curricula and post-doctoral programs for the creation of new generations of researchers on education during these nations’ critical transition into newer democratic forms of government. Our Southern Initiative has resulted in the establishment of locally initiated, interdisciplinary, inter-institutional education research projects which demonstrate potential for funding by other foundations and wide acceptance by Southern scholars and educators. We are also pleased by the Foundation’s ventures in the direction of promoting discourse on education research topics and wider dissemination of wisdom from education research. The clear need and potential usefulness of such discussion increases as work in this area expands.
The Foundation’s success both in increasing its resources and putting them to good use is in no small measure due to the leadership of President Patricia Albjerg Graham who announced her retirement from the Foundation effective June 2000. We will miss her work and her friendship in future years, but we wish her well as she embarks upon her next career as a retired, but extremely active, expert on many subjects related to education research. Those of us who remain anticipate with great excitement the arrival of Ellen Condliffe Lagemann, our next President, who will provide leadership for the Spencer Foundation as we move into the next century.

John B. Williams, III
Vice President
GENERAL SCOPE OF SUPPORT

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

The Foundation’s programs are organized within three divisions: Research, Fellowships, and Training. In addition, a handful of programs operate out of the Office of the Vice President. Programs in the Research Division support work that shows promise of contributing new knowledge, understanding, and improvement of educational thought and practice. Programs in the Fellowship Division support educational researchers at different stages of their professional careers, providing resources to both beginning and senior researchers to pursue concentrated intellectual activity. Programs in the Training Division are aimed at improving the work and performance of agencies and institutions, mainly universities and graduate schools of education at universities, which hold a mission of training and apprenticing educational researchers. Funding programs within the Vice President’s Office are experimental or developmental, spanning and augmenting the other divisions’ programmatic objectives.

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

RESEARCH DIVISION

The Research Division at the Foundation encourages research that promises to yield new knowledge about education, in one or other of its forms, in the United States and abroad. The programs in this division support researchers from a wide range of disciplines and professional fields.

MAJOR RESEARCH GRANTS

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

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

Eligibility. Ordinarily, principal investigators applying for a Major Research Grant 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 experience in the teaching profession.

Restrictions. The Foundation 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 Information

Application Procedure. 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 and the new knowledge expected to result from it;
• a brief review of relevant research literature;
• a concise summary of the research methodologies, modes of analysis, and/or instruments that the project will employ;
• a clear identification of the principal investigator(s) and a clear definition of the roles they and any supporting researcher(s) will play;
• an estimated time frame for the project and an approximated project budget including the amount requested from the Spencer Foundation.

Attachments must include:

• the full curriculum vita(e) of the principal investigator(s);
• phone number(s), fax number(s), and email address(es) that can be used to contact the investigator(s).

The Foundation responds to preliminary proposals promptly.

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.

SMALLRESEARCH 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 scholars and teachers in a broad range of institutions who are interested in educational research a unique opportunity 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 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 a maximum 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 the following information:

• a concrete description of the proposed research project;
• a review of the relevant literature and the proposed research’s relationship to it;
• a statement of the methodologies and modes of analysis to be employed in the project;
• a clear definition of the role of the researcher(s);
• a summary of the new knowledge about
education expected to result from the project;  
• a description of the potential contribution  
of that new knowledge to the improvement  
of education.

Attachments should include:

• a one-paragraph summary of the project,  
  written for the interested, informed lay  
  person;
• a detailed budget for the project;
• approval of the budget from the appropriate  
  financial officer of the institution serving as  
  fiscal agent of the grant;
• the full curriculum vita(e) of the principal  
  investigator(s);
• phone number(s), fax number(s), and email  
  address(es) that can be used to contact the  
  investigator(s).

An unbound original and two unbound  
copies of the proposal and attachments are  
requested. Please note that proposals exceed-  
ing 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,  

PRACTITIONER RESEARCH  
COMMUNICATION AND  
MENTORING GRANTS

The Foundation’s Practitioner Research  
Communication and Mentoring Program  
(PRCM) supports research or research capacity-  
building projects. The program seeks to  
strengthen the effectiveness of teacher/educator-researchers and to clarify the uses of practi-  
tioner research. The purpose of PRCM grants is  
threefold: (1) to establish or strengthen chan-  
nels for rigorous examination and discussion of  
the characteristics and knowledge produced by  
well-constructed teacher/educator-research,  
(2) to provide teacher/educator-researchers with 
the opportunity to enhance their research  
skills through consultation with others in the  
teacher/educator-research and/or traditional  
academic communities, and (3) to support high  
quality teacher/educator research projects.  
PRCM grants are intended to build the research  
expertise of teacher/educator-researchers and  
to support strong communities of inquiry  
around teacher/educator research.

Application guidelines are under revision.  
Inquiries should be directed to: Practitioner  
Research Communication and Mentoring  
Program, The Spencer Foundation, 875 North  
Michigan Avenue, Suite 3930, Chicago,  
Illinois 60611-1803.

PROFESSIONAL DEVELOPMENT  
RESEARCH AND  
DOCUMENTATION PROGRAM

The Professional Development Research  
and Documentation Program, funded jointly  
by the John D. and Catherine T. MacArthur  
Foundation and the Spencer Foundation, com-  
pleted its third and final year of grant making  
in December 1998. Final proposals were fund-  
ed in September 1998. The program was creat-  
ed to support research on the professional  
development of adults working in elementary  
and secondary schools. Individuals or groups  
interested in pursuing grants for research on  
professional development can apply to the  
Small Research Grants or Major Research  
Grants program at the following address: The  
Spencer Foundation, 875 North Michigan  
Avenue, Suite 3930, Chicago, Illinois 60611-  
1803.

THE SPENCER SENIOR  
SCHOLAR PROGRAM

The Spencer Senior Scholar Program sup-  
ports established scholars who are identified as  
being at the peak of their careers by their peers.  
The Scholars are invited by the Foundation to  
submit proposals for these awards.

FELLOWSHIP DIVISION

The Fellowship Division at the Foundation  
supports scholars engaged in educational  
research at different stages of their professional
Application Information

lives. Three fellowship programs—the Spencer Dissertation Fellowship Program, the Advanced Studies Research Group Fellowships, and the Advanced Studies Institute/Seminar Awards—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.

DISSERTATION FELLOWSHIP PROGRAM FOR RESEARCH RELATED TO EDUCATION

Through the Foundation’s Dissertation Fellowship Program, approximately 35 non-renewable fellowships of $20,000 are awarded each year. 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 education. The Foundation believes that insights from many research traditions can contribute to an understanding of education as a fundamental human endeavor and advance our ability to address significant current issues in education. Therefore, the Spencer Dissertation Fellowships support individuals whose dissertations show potential for bringing fresh and constructive perspectives to the history, theory, or practice of formal or informal education anywhere in the world.

Funding Priorities. Although the dissertation topic must concern education, graduate study may be in any academic discipline or professional field. In the past, fellowships have been awarded to candidates in anthropology, architecture, art history, economics, education, history, linguistics, literature, philosophy, political science, public health, psychology, religion, and sociology, but eligibility is not restricted to these academic areas. Candidates should be interested in pursuing further research in education once the doctorate is attained.

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

Restrictions. Fellows’ stipends are to support completion of dissertation work and are to be expended within one or two years in accordance with the work plan provided by the candidate in his/her application. Fellows may not accept employment other than as described (if any) in the application, nor may they accept other awards providing duplicate benefits without the written permission of the Spencer Program Officer.

Application Procedure. 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 each year. Awards are announced in April.


ADVANCED STUDIES RESEARCH GROUP FELLOWSHIP AWARDS

The Foundation’s Research Group Fellowship Awards provide multi-year funding to teams of senior researchers to offer one- to two-year postdoctoral fellowships to cohorts of early career scholars (ordinarily within five years of degree conferral). The awards seek to aid postdoctoral fellows in strengthening their
research capacities and enhancing their professional networks by facilitating interaction with senior scholars working within established research institutions. The sponsoring institution(s) applying for funding under this program must be organized around well-defined research agendas, and the senior researchers acting as principal investigators must themselves have a strong research record and a history of working successfully with early career scholars.

Those senior scholars interested in submitting a Research Group Fellowship Award proposal must have first applied for, and been awarded, a Planning Grant.

ADVANCED STUDIES RESEARCH GROUP PLANNING GRANTS

Research Group Planning Grants support the complex thinking needed to design and organize a Research Group Fellowship Program that supports the career development of postdoctoral scholars working in areas relevant to education. Planning processes funded under this grant may be of up to one year in duration and must require no more than $50,000 to complete. Planning activities vary widely, ranging from an analysis of the needs of early career scholars and the host institution’s capacity to address those needs to the identification of a network of senior scholars and/or the establishment of the institutional arrangements necessary for a strong and successful postdoctoral program.

Eligibility. Senior researchers may serve as the principal investigators on a Planning Grant application. Current principal investigators on Spencer research grants may apply for an award under this program. Principal investigators must be currently affiliated with a college or university, a research facility, or other research agency. The principal investigators must also have an earned doctorate in an academic discipline or professional field. Applicants may either be associated with a single institution or organized collaboratively across institutions. A program can be located in any field of inquiry but must be: (1) proposed by a team of researchers working in areas relevant to education and (2) designed for early career scholars interested in research careers focused on critical educational issues.

Restrictions. A Planning Grant will not cover current expenses associated with an ongoing research program, but it can be used to rethink or redesign an existing program for early career scholars pursuing research related to education. Please note that the Foundation does not pay indirect costs on Research Group Fellowship Planning Grants.

Application Procedure. Planning Grant proposals should be no more than 2,500 words in length (approximately eight to ten double-spaced pages) and should provide the following:

- a description of the research community into which a group of postdoctoral fellows would be immersed (were the planning grant to result in submission of a full proposal);
- a statement of the likely focus of inquiry;
- a brief discussion of the strengths of the institution or context to support such inquiry;
- a concise summary of the proposed planning activities and the rationale for undertaking each one;
- identification of the person or persons responsible for the planning process;
- an estimated schedule for the planning process.

Attachments should include:

- a summary of the proposal (one double-spaced page);
- a detailed budget;
- approval of the budget from the appropriate financial officer of the institution serving as the fiscal agent of the grant;
- the full curriculum vitae of the researchers responsible for the planning process;
- phone numbers, fax numbers, and email addresses that can be used to contact the researchers.

An unbound original and five unbound copies of the proposal and attachments are
Application Information

Insofar as feasible, proposals that include all the information requested above will be acted upon within approximately six to eight weeks of receipt by the Foundation.

Inquiries and proposals are welcome at any time and should be addressed to: Advanced Studies Fellowship Program, The Spencer Foundation, 875 North Michigan Avenue, Suite 3930, Chicago, Illinois 60611-1803.

ADVANCED STUDIES INSTITUTE/SEMINAR AWARDS

The Foundation’s Advanced Studies Institute/Seminar Awards support short-term workshops, institutes, or seminars designed to strengthen the research skills of early career scholars. Institute/Seminars may take many forms (from a single meeting to a series of meetings, conferences, or seminars), but should advance the program’s dual goals of: (1) strengthening the research capacities of early career scholars and (2) enhancing their substantive and professional networks.

Eligibility. Beginning or experienced researchers, or a combination of the two, may apply for an Advanced Studies Institute/Seminar Award to strengthen the research skills and capacities of early career scholars. Ordinarily, Advanced Studies 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. Current principal investigators on Spencer research grants may apply for an award under this program. However, early career applicants may not hold another Spencer Foundation-funded fellowship when they apply for an Institute/Seminar Award.

Restrictions. Planning Grants are not available for development of proposals for an Institute/Seminar Award. An Institute/Seminar Award may not be used to fund a program that is already underway. However, a proposal that argues persuasively that a distinct element relevant to the purposes of this award is to be added to an existing program could be considered. Please note that the Foundation will not pay indirect costs on Institute/Seminar Awards.

Application Procedure. Institute/Seminar proposals should be no more than 2,500 words in length (approximately eight to ten double-spaced pages) and should provide the following:

- A clear synopsis of the objectives for the Institute/Seminar and a statement of how these objectives will address the needs of early career scholars;
- A statement of the new knowledge and/or skills early career researchers are expected to acquire through participation in the Institute/Seminar;
- A concise summary of the proposed set of activities designed to strengthen the research capabilities of young researchers and of the ways in which the proposed activities will fulfill this broad purpose;
- Identification of the researcher(s) responsible for organizing the Institute/Seminar;
- A participant list or a statement of the target audience and/or (if appropriate) the names and titles of individuals who have agreed to participate as contributors through general discussion, presentation of papers, and other means;
- An estimated schedule for the meetings, symposia, seminars, or institutes.

Attachments should include:

- A summary of the proposal (one double-spaced page);
- A detailed budget;
- Approval of the budget from the appropriate financial officer of the institution serving as fiscal agent of the grant;
- The full curriculum vitae of the researchers responsible for the Institute/Seminar;
- Phone numbers, fax numbers, and email addresses that can be used to contact the researchers.

An unbound original and five unbound copies of the proposal and attachments are requested. Insofar as it is feasible, proposals...
that include all the information requested above will be acted upon within approximately six to eight weeks of receipt by the Foundation. Inquiries and proposals are welcome at any time and should be addressed to: Advanced Studies Fellowship Program, The Spencer Foundation, 875 North Michigan Avenue, Suite 3930, Chicago, Illinois 60611-1803.

**NATIONAL ACADEMY OF EDUCATION/SPENCER POST-DOCTORAL FELLOWSHIPS**

Administered by the National Academy of Education, the Postdoctoral Fellowships are designed to promote scholarship in the United States and abroad on matters relevant to the improvement of education in all its forms. Scholars anywhere in the world who have completed their doctorates 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.

**AMERICAN EDUCATIONAL RESEARCH ASSOCIATION/SPENCER PRE-DISSERTATION RESEARCH FELLOWSHIPS**

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

**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 (CASBS) 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 concerning Spencer Fellows at CASBS should be addressed to: Director, Center for Advanced Study in the Behavioral Sciences, 75 Alta Road, Stanford, California 94305-8090.

**TRAINING DIVISION**

The Training Division at the Foundation seeks to support innovative ways to address the systematic and creative training of education researchers and to promote a deeper understanding of educational practices. The three programs in this division, two of which are invitational, are described below.

**THE RESEARCH TRAINING GRANT PROGRAM**

Through the Research Training Grant Program, at the invitation of the Foundation, grants are made to schools of education to support the doctoral training of education researchers. The program’s goals are: (1) to enhance the research training of graduate students in education by providing financial aid to students so that they can study full time, (2) to develop a larger and stronger national community of inquiry, and (3) to stimulate conversations about research training within and across institutions.

**RESEARCH ON SCHOOL REFORM INITIATIVE**

The intent of the Research on School Reform Initiative is to promote research that will generate a deeper understanding of educationally relevant changes associated with school reform. The research should explore the significance of pertinent contexts and both the
intended and unintended consequences of school reform. The Foundation encourages research on specific reforms that have important implications for the schools and students involved and for future policies, both locally and nationally. The Foundation will not fund evaluations of reform efforts or evaluations of educational programs.

The Research on School Reform Initiative provides support for teams of researchers. The teams should be multi-disciplinary, involve senior and junior scholars, and include practitioners as full participants. Findings should be presented in forms and forums useful for those directly involved with the reform. (These stakeholders might include educators, families, and community members as well as scholars, policy analysts, and policy makers.) The Foundation will periodically convene grantees to examine themes and issues emerging from the research.

Those invited to submit a proposal for funding must have first applied for and been awarded a Planning Grant. At this time, no new requests for funding under this program are being accepted.

Inquiries about this program should be addressed to: Research on School Reform Initiative, The Spencer Foundation, 875 North Michigan Avenue, Suite 3930, Chicago, Illinois 60611-1803.

SPENCER MENTOR NETWORK AWARDS

The invitation, the Mentor Network Grant Program awards grants to individual scholars who work on issues related to education and who have a strong record of mentoring doctoral students preparing for careers in education research. Recipients of the grants are selected based on their research records and evidence of their effectiveness as mentors. Spencer Mentor Network Awards provide support to doctoral students intending careers related to the study of education.

OFFICE OF THE VICE PRESIDENT

A small number of experimental and developmental programs, including Conference Programs, are assigned to the Office of the Vice President.

CONFERENCE PROGRAMS

Through its conference programs, the Foundation encourages discussion of relevant topics related to research on education through two initiatives.

SPENCER-SPONSORED CONFERENCES

The Foundation organizes three to four invitational conferences each year to encourage established scholars to focus more deeply on issues judged by the education research community to be of special importance and in need of scholarly attention. These conferences are intended to provide an opportunity for the nation’s community of educational researchers to meet together to review existing research, discuss new pathways of inquiry, develop future research agendas, train and socialize beginning researchers, and conduct related community-building activities.

Conference agendas, reports, and participant listings may be found on the Foundation’s website at www.spencer.org.

RESEARCH CONFERENCE GRANTS

The Foundation’s Research Conference Grants Program supports forums in which researchers and other educators engage in discussions of on-going research projects, important new findings, areas for new research, improved methods for systematic inquiry into important education topics, and related subjects. Such forums are important for expanding and improving the content and contributions of education research and for sustaining national and international research communities.

Funding Priorities. Conferences proposed for funding under the program should offer a unique opportunity to focus upon an area of inquiry, to define needed research, and/or to promote multi-disciplinary collaboration. Conference organizers need not feel limited to a single conference structure. In addition to the
traditional paper presentation format, acceptable conference structures include a series of working meetings or seminars, discussions of new or innovative ways to think about existing research, and multimedia or video conferencing.

**Eligibility.** Ordinarily, conference organizers must be currently affiliated with a school district, a college or university, a research facility, or a cultural institution. Conference organizers must also have an earned doctorate in an academic discipline or professional field and/or appropriate experience in the teaching profession. Researchers and other applicants may receive a conference grant and a research grant simultaneously from the Foundation. Prior experience organizing conferences is considered but is not a prerequisite for funding.

**Restrictions.** Grants under the program may not exceed $50,000. A report, a book of readings, or a research agenda should be disseminated following the conference. Please note that the Foundation does not pay indirect costs in the Research Conference Grants Program.

**Application Procedure.** Proposals for support should take the form of a statement not exceeding 1,500 words in length (approximately five double-spaced pages) and should include the following:

- a clear description of the proposed conference objectives;
- the proposed organization, format, date(s), and schedule of all conference proceedings;
- a clear identification of the conference organizer(s);
- the names and titles of individuals who have agreed to participate as contributors through general discussion, presentation of papers, and other means;
- a description of planned reports, publications, and other concrete outcomes.

Attachment should include:
- a one-paragraph summary of the project;
- a conference agenda;
- a detailed budget;
- approval of the budget from the appropriate financial officer of the institution serving as fiscal agent of the grant;
- the full curriculum vita(e) of the conference organizer(s);
- phone number(s), fax number(s), and email address(es) that can be used to contact the conference organizer(s).

An unbound original and three unbound copies of the proposal and attachments are requested. Inquiries and proposals are welcome at any time and should be addressed to: Research Conference Grants Program, The Spencer Foundation, 875 North Michigan Avenue, Suite 3930, Chicago, Illinois 60611-1803.

**ADDITIONAL INFORMATION**

**THE REVIEW PROCESS**

Research proposals and fellowship applications submitted to the Spencer Foundation go through a rigorous review process that relies extensively upon peer review by external scholars. The goal of the external review is not to achieve threshold ratings from reviewers; rather, it is to bring solid scholarly advice to bear on funding decisions. The Foundation receives many more well-conceived and worthwhile project proposals than it can possibly fund. Therefore, it is frequently necessary to forgo opportunities to support high quality projects in the research programs or in the fellowship competitions even though they are well within the Foundation’s area of interest.

**INDIRECT COST POLICY**

For research grants over $75,000, the Foundation will pay indirect costs up to 15 percent of the direct costs of the project. The Foundation does not pay government-
approved overhead rates on research grants. For all other grants, it is the Foundation’s policy not to pay indirect costs. Also, the Foundation will generally not accept institutional infrastructure costs (such as office rent, grants and contracts office expenses, accounting and legal services, etc.) as part of the direct costs. The Foundation will review each budget individually for the appropriateness of the direct costs.

NOTE: The current members of the Foundation’s Board of Directors, review committees, and staff, as well as updates of the information in the Annual Report, can be found at the Spencer Foundation website: www.spencer.org. Additionally, this site permits downloading of the Foundation’s 25th Anniversary Annual Report (1996), the current year’s Annual Report, and select updates to Spencer program information.
The Spencer Foundation supports research that gives promise of yielding new knowledge leading to the improvement of education. Grants authorized and ongoing under the Research, Fellowship, and Training initiatives during this year are listed on pages 20 through 45.
MAJOR RESEARCH GRANTS

F. King Alexander and Walter W. McMahon
Measuring the Returns to Higher Education: The Market and Non-Market Returns to Education and Research from Investment in Higher Education
Department of Educational Organization and Leadership
University of Illinois at Urbana-Champaign
$57,500 over one year

Richard C. Anderson
Facets of Metalinguistic Awareness that Enable the Acquisition of Chinese Characters
Center for the Study of Reading
University of Illinois at Urbana-Champaign
$233,700 over two years

Albert Bandura and Gian V. Caprara
Impact of Social-Cognitive Factors on Trajectories of Social, Moral, Academic and Occupational Development
Department of Psychology
Stanford University
$194,200 over four years

Bonnie L. Barber
Round Holes, Square Pegs, Rocky Roads, and Sore Feet: Adolescents’ Education and their Transition into Adulthood
Department of Family Studies
University of Arizona
$452,100 over three years

Tabbye M. Chavous and Jacqueline S. Eccles
African Americans in Higher Education
Department of Psychology
University of Michigan
$425,600 over three years

Amanda L. Datnow and Lisa A. Hubbard
Single Gender Public Schooling as a New Form of School Choice
Center for the Social Organization of Schools
Johns Hopkins University
$135,200 over 19 months

David K. Dickinson
An Examination of Factors that Affect the Capacity of Preschool Programs to Support Children’s Early Literacy Development
Education Development Center, Inc.
Newton, Massachusetts
$424,900 over three years

Carol S. Dweck
Psychological Causes of Student Achievement
Department of Psychology
Columbia University in the City of New York
$379,500 over two years

Richard Joffe Falmagne
Women, Social Location and Deductive Reasoning: Contextual Processes, Meaning-Making and Inferential Principles
Francis L. Hiatt School of Psychology
Clark University
$224,500 over three years

Wendy S. Grolnick, Jaan Valininer, and Richard Sobier
Socializing Motivation and Academic Efficacy: The Power of a Practice
Francis L. Hiatt School of Psychology
Clark University
$494,250 over three years

Edward H. Haertel
School of Education
Stanford University
$367,700 over 26 months

Emily C. Hannum and Yanhong Zhang
The Gansu Poverty and Education Project
Graduate School of Education
Harvard University
$276,400 over 27 months

Sylvia A. Harrop and Joyce Goodman
Women and the Governance of Girls’ Secondary Schools in Britain 1870-1920
Department of Education
University of Liverpool
$235,400 over three years

Annette P. Lareau
Contours of Childhood: The Power and Limits of Social Class
Department of Sociology
Temple University
$297,150 over two years

Jane E. Lewis
Sex Education: A Comparison of Policy Development and Practice in the UK and The Netherlands from the 1960s to the 1990s
Department of Social Policy and Social Work
University of Oxford
United Kingdom
$134,350 over two years

Rachel A. Lutan and Elizabeth G. Cohen
Language Acquisition and Mastery of Content for English Learners in Heterogeneous Classrooms
Program for Complex Instruction
Stanford University
$394,950 over three years

Edward H. Haertel
School of Education
Stanford University
$367,700 over 26 months

Emily C. Hannum and Yanhong Zhang
The Gansu Poverty and Education Project
Graduate School of Education
Harvard University
$276,400 over 27 months

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United Kingdom
$134,350 over two years

Rachel A. Lutan and Elizabeth G. Cohen
Language Acquisition and Mastery of Content for English Learners in Heterogeneous Classrooms
Program for Complex Instruction
Stanford University
$394,950 over three years

Anne J. MacLachlan, Arnold L. Leiman, and Calvin C. Moore
A Longitudinal Study of Minority Ph.D.s from 1980-1990: Progress and Outcomes in Science and Engineering at U.C. during Graduate School and Professional Life
Center for Studies in Higher Education
University of California, Berkeley
$264,250 over two years

Emilia Martin
Managing the Mental: The Learning Person in Late 20th Century U.S. Society and Culture
Department of Anthropology
Princeton University
$148,400 over two years

Dana A. Mewborn
Learning to Teach Elementary Mathematics
Department of Mathematics Education
University of Georgia
$245,400 over four years

Cecil Miskel
Interests and Processes for Reading Policy in the States
School of Education
University of Michigan
$395,600 over 28 months
Major Research Grants

David E. Myers and Paul E. Peterson
Continued Funding of “An Evaluation of a Randomized Experiment on School Choice”
Corporation for the Advancement of Policy Evaluation
Princeton, New Jersey
$436,000 over two years

Barbara Scott Nelson and Annette M. Saati
“Putting Something on the Line.”
How New Ideas About Education Connect with Old Ideas About Administration
Education Development Center, Inc.
Newton, Massachusetts
$319,250 over two years

Francisco O. Ramirez and John W. Meyer
The Societal Effects of National Scientific and Educational Expansion: Comparative Sociological Studies
School of Education
Stanford University
$461,650 over three years

Jean E. Rhodes and Niobe Way
A Longitudinal Investigation of the Predictors, Patterns of Change and Consequences of Middle School Student Perceptions of School Climate
Department of Psychology
University of Illinois at Urbana-Champaign
$209,200 over two years

James E. Rosenbaum
How Do Employers and Students Learn to Use Community Colleges and Proprietary Schools?
Center for Urban Affairs and Policy Research
Northwestern University
$400,000 over three years

James P. Spillane
Improving Instruction and the “Practice” of School Leadership in Urban Elementary Schools
School of Education and Social Policy
Northwestern University
$374,200 over three years

Daniel A. Wagner
Literacy and Its Consequences in Developing Countries: A Comparative Approach
International Literacy Institute
University of Pennsylvania
$476,100 over three years

Karl L. Alexander and Doris R. Entwisle
The Transition to Adulthood Among Urban Youth
Department of Sociology
Johns Hopkins University
$380,240 in 1998

Donna E. Alvermann
After-School Media Clubs for Reluctant Adolescent Readers
Department of Reading Education
University of Georgia
$71,100 in 1998

Kathryn M. Anderson-Levitt
Constructing “Good Pedagogy” in Guinea: Global, National and Local Dialogues
Department of Behavioral Sciences
University of Michigan-Dearborn
$118,860 in 1998

Kathryn H. Au
The Successful Education of Hawaiian Children: A Study of Preservice and Mentor Teachers
College of Education
University of Hawaii at Manoa
$192,100 in 1997

Deborah Loewenberg Ball
Crossing Boundaries: Probing the Interplay of Mathematics and Pedagogy in Elementary Teaching
Department of Educational Studies
University of Michigan
$302,000 in 1998

Isabel L. Beck and Margaret G. McKeown
Text Talk: Building Knowledge and Developing Thinking Through Read-Aloud Discussions
Learning Research and Development Center
University of Pittsburgh
$307,800 in 1999

Mark Berends and Samuel R. Lucas
The Structure and Effects of Tracking in the United States: A Temporal Perspective
The RAND Corporation
Washington, District of Columbia
$472,800 in 1997

Ruth A. Berman
Developing Literacy in Different Contexts and in Different Languages
Department of Linguistics
Tel Aviv University
Israel
$520,000 in 1998

Peter Blatchford and Anthony D. Pellegrini
Playground Games: Their Social Context in Elementary/Senior School
Department of Psychology and Special Needs
University of London
United Kingdom
$170,600 in 1998

Paul Bloom
Syntactic Support in Word Learning
Department of Psychology
Yale University
$32,700 in 1993

GRANTS IN PROGRESS

Karl L. Alexander and Doris R. Entwisle
The Transition to Adulthood Among Urban Youth
Department of Sociology
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Major Research Grants

David M. Bloome and Susan R. Goldman
Using Multiple Texts for Academic Learning: Social and Cognitive Perspectives
Department of Teaching and Learning
Vanderbilt University
$552,900 in 1997

Phyllis C. Blumenfeld, Joseph S. Krajinovic, Ronald W. Marx, and Elliot Soelway
Technologies to Enable Inquiry: The Influences on Student Learning and Motivation
School of Education
University of Michigan
$275,350 in 1999

Joanne Brooks-Gunn
Stories: Language and Literacy in the Context of Home Visiting Programs
Center for Young Children and Families
Teachers College, Columbia University in the City of New York
$238,900 in 1997

Jere E. Brophy and Janet E. Alleman
Developments Across the Primary Grades in Students’ Social Studies Knowledge and Thinking
Department of Teacher Education
Michigan State University
$168,950 in 1999

David C. Brotherton and Luis Barrios
Marginalization, Education, and Empowerment: A Multiple Case Study Analysis of Street Organizations in New York City
Department of Sociology
John Jay College of Criminal Justice
City University of New York
$347,200 in 1999

Jerome S. Bruner
Meaning Making in Context
Department of Psychology
New York University
$377,250 in 1995

Nicholas C. Burbules and Suzanne Rice
Virtue, Communication, and Education: The Debate About Virtue and Character in U.S. Schools
Department of Educational Policy Studies
University of Illinois at Urbana-Champaign
$72,000 in 1998

Robert C. Calfee
Design Experiments on Efficient and Effective Decoding-Spelling Instruction in the Primary Grades
Graduate School of Education
University of California, Riverside
$362,000 in 1999

Eve V. Clark
Pragmatics, Metalinguage, and Addressee-Uptake in Language Acquisition
Department of Linguistics
Stanford University
$58,650 in 1999

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

Kieran Egan
Minds and Their Educational Development
Faculty of Education
Simon Fraser University
Canada
$46,450 in 1999

Turfait M. Eloundou-Enyegue and Julie DaVanon
Population Growth, Economic Crisis, and the Future of Schooling in Sub-Saharan Africa
The RAND Corporation
Santa Monica, California
$184,900 in 1999

Thomas W. Farmer and Beverly D. Cains (Originally granted to Robert B. Cains)
Intergenerational Turning Points for School Success
Department of Psychology
University of North Carolina at Chapel Hill
$258,750 in 1997

Jerzy D. Finn and Charles M. Achilles
A Study of Class Size and At-Risk Students
Graduate School of Education
State University of New York at Buffalo
$734,400 in 1999

Bruce Fuller and Sharon L. Kagan
The Devolution of Welfare: Assessing Children’s Changing Environments and Effects on School Readiness
School of Education
University of California, Berkeley
$441,250 in 1998

Parfait M. Eloundou-Enyegue and Julie DaVanon
Population Growth, Economic Crisis, and the Future of Schooling in Sub-Saharan Africa
The RAND Corporation
Santa Monica, California
$184,900 in 1999

Michael Fultz
African-American Teachers in the South, 1890-1960
Department of Educational Policy Studies
University of Wisconsin-Madison
$182,100 in 1997

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Michael Fultz
African-American Teachers in the South, 1890-1960
Department of Educational Policy Studies
University of Wisconsin-Madison
$182,100 in 1997

Rene Galindo
A Comparative Study of Language and Educational Policy Debates over Bilingual Education
Latinos: A Research and Policy Center
University of Colorado at Denver
$470,450 in 1999
<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Institution</th>
<th>Amount</th>
<th>Year</th>
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<tbody>
<tr>
<td>James Paul Gee and Sarah A. Michaels</td>
<td>Toll, Text, and Identity: Understanding Teaching and Learning in a Post-Progressive Science Program</td>
<td>Jacob Hilt Center for Urban Education, Clark University</td>
<td>$300,310</td>
<td>1996</td>
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<tr>
<td>Margaret A. Gibson</td>
<td>Social Identity, Pure Affiliations, and Academic Engagement: A Comparative Study of Immigrant and Nonimmigrant Youth</td>
<td>University of California, Santa Cruz</td>
<td>$49,600</td>
<td>1999</td>
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<tr>
<td>Susan Goldin-Meadow</td>
<td>Gesture-Speech Mismatch as an Educational Tool: Using the Hand to Read the Mind</td>
<td>University of Chicago</td>
<td>$49,675</td>
<td>1994</td>
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<tr>
<td>Usha Claire Goswami</td>
<td>Factors Influencing the Use of Analogical Reasoning by Young Children</td>
<td>University of Toronto, Canada</td>
<td>$374,600</td>
<td>1998</td>
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<td>John F. Kain</td>
<td>Minority Suburbanization and the Achievement of Minority Students</td>
<td>Harvard University</td>
<td>$214,700</td>
<td>1997</td>
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<tr>
<td>David Kaplan</td>
<td>Developing Longitudinal Statistical Models for Education Policy</td>
<td>Department of Educational Studies, University of Delaware</td>
<td>$125,000</td>
<td>1999</td>
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<tr>
<td>Sandra Katz</td>
<td>The Interactions That Produce Learning</td>
<td>Learning Research and Development Center, University of Pittsburgh</td>
<td>$296,000</td>
<td>1999</td>
</tr>
<tr>
<td>Valerie E. Lee</td>
<td>Cultural Modeling in Reading Comprehension: Implications for Teacher and Student Cognition</td>
<td>School of Education and Social Policy, University of Michigan</td>
<td>$311,400</td>
<td>1999</td>
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<tr>
<td>Mary J. Levitt and Jerome L. Levitt</td>
<td>Social Networks and School Adaptation Across the Child to Adolescent Transition</td>
<td>Department of Psychology, Florida International University</td>
<td>$293,350</td>
<td>1997</td>
</tr>
<tr>
<td>Howard B. London and Kathleen M. Shaw</td>
<td>Cultures of Success: A Study of Community Colleges with High Transfer Rates</td>
<td>Department of Sociology, Bridgewater State College</td>
<td>$30,500</td>
<td>1996</td>
</tr>
</tbody>
</table>

2000 ANNUAL REPORT

Major Research Grants

James Paul Gee and Sarah A. Michaels

Margaret A. Gibson

Herbst P. Ginsburg

Claude N. Goldenberg, Ronald G. Callimore, and William M. Saunders

Susan Goldin-Meadow

Usha Claire Goswami

Carl F. Kaestle

John F. Kain

David Kaplan

Sandra Katz

Valerie E. Lee

Mary J. Levitt and Jerome L. Levitt

Howard B. London and Kathleen M. Shaw
<table>
<thead>
<tr>
<th>Title</th>
<th>PI Name</th>
<th>Co-PI Name(S)</th>
<th>Institution(S)</th>
<th>Award Amount(s)</th>
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<tbody>
<tr>
<td>Factors Related to Early School Success Among Children Born to Teenage Mothers</td>
<td>Tom J. Luster</td>
<td></td>
<td>Department of Family and Child Ecology, Michigan State University</td>
<td>$326,100 in 1998</td>
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<td>The Acquisition of Dependency Grammar</td>
<td>Anat Ninio</td>
<td></td>
<td>Department of Psychology, Hebrew University of Jerusalem, Israel</td>
<td>$218,775 in 1996</td>
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<td>Generativity in Black and White</td>
<td>Dan P. McAdams</td>
<td></td>
<td>The Foley Center for the Study of Lives, Northwestern University</td>
<td>$367,200 in 1995</td>
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<tr>
<td>Autism Children’s Narrative Interactions at School and Home</td>
<td>Elinor Ochs and Lisa M. Capps</td>
<td></td>
<td>Department of Anthropology, University of California, Los Angeles, Los Angeles</td>
<td>$394,700 in 1998</td>
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<td>Teacher Discourse in Middle School Mathematics Classrooms</td>
<td>Mary Catherine O’Connor</td>
<td></td>
<td>Boston University</td>
<td>$212,500 in 1996</td>
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<td>Students’ Multiple Worlds: The Role of School-Based Health Clinics in Mediating Transitions</td>
<td>Patricia K. Phelan and Ann Lecke Davidson</td>
<td></td>
<td>Education Program, University of Washington</td>
<td>$292,000 in 1998</td>
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<td>Questioning the Academy: The Impact of the Protestant Movements of the 1960s on American Higher Education</td>
<td>Julie A. Reuben</td>
<td></td>
<td>Harvard University</td>
<td>$268,000 in 1998</td>
</tr>
<tr>
<td>The Nature and Origins of Individual Differences in Achievement</td>
<td>Patricia A. Smiley</td>
<td></td>
<td>Department of Psychology, Pomona College</td>
<td>$130,250 in 1998</td>
</tr>
<tr>
<td>Schools at the Workplace: The New American Neighborhood?</td>
<td>Claire E. Smrekar</td>
<td></td>
<td>Vanderbilt College</td>
<td>$144,500 in 1999</td>
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<tr>
<td>Microgenetic Studies of Self Explanations</td>
<td>Robert S. Siegler</td>
<td></td>
<td>Department of Psychology, Carnegie Mellon University</td>
<td>$266,800 in 1998</td>
</tr>
<tr>
<td>The Internet in School: Problems and Possibilities</td>
<td>Janet Schofield</td>
<td></td>
<td>Learning Research and Development Center, University of Pittsburgh</td>
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<tr>
<td>Institutional and Programmatic Factors Associated with College Student-Athletes’ Academic Success and Failure</td>
<td>Robert M. Sellers</td>
<td></td>
<td>Department of Psychology, University of Michigan</td>
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<td></td>
<td>Vanderbilt College</td>
<td>$144,500 in 1999</td>
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Michael S. Stinson and Barbara G. McKee  
**Speech Recognition as a Support Service for Deaf and Hard of Hearing Students: Adaptation and Evaluation**  
National Technical Institute for the Deaf  
Rochester Institute of Technology  
$113,200 in 1998

Kenneth A. Strick  
**Community, State and Market: An Alternative View of School Reform**  
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Hanh Cao-Yu  
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Social Policy Research Associates  
Menlo Park, California  
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<tr>
<td>David W. Adams</td>
<td>Coming of Age on the Southwest Frontier: A Tri-Cultural Study, 1890-1990</td>
<td>Cleveland State University</td>
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<td>JoBeth Allen and Linda D. Lubbo</td>
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<tr>
<td>Michael Bruno and Gloria Delany-Barmann</td>
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<td>Anthony Dosen</td>
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<td>Graduate School of Education, University of California, Berkeley</td>
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<td>Department of Political Science, George Washington University</td>
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<td>Martin L. Maehr and Paul Robert Pintrich</td>
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<td>Writing in Two Languages: An Exploratory Study of Bilingual High School Students</td>
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<td>$34,400</td>
<td>Kenneth J. Meier</td>
<td>Race, Ethnicity, and College Aspirations: The Role of Secondary Schools</td>
<td>Department of Political Science, Texas A &amp; M University</td>
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Angela T. Perez Miller
Promotion Policy Study
School of Education
DePaul University
$25,800

Thomas S. Moore
The Institute for Wisconsin’s Future
Milwaukee, Wisconsin
$2,000

Jerome E. Morris
Examining Communal Bonds Among an African-American School, Black Families, and a Community
Social Foundations of Education
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Educational Inequality on Trial: Legal Mobilization and the Politics of School Finance Reform
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Community-Centered, Community-Minded. Leonard Covello and the American Community School
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Gender, Caste, and Urbanization: Locating the Complicating Role of English in the Lives of Dalit Women in Gujarat, India
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Robert Rosenfeldh
An Orthogonal Comparison of Induced Self and Other Expectations
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Effects of the Social Environment on Students’ Motivation, Self-regulated Learning, and Achievement in Math
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Barbara Schneider
The History of Desegregation of Historically Black High Schools in Hillsborough County, Florida from 1954-1973
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University of South Florida
$29,900

Mona L. Siegel
War, Peace, and Patriotism in French Primary Schools, 1914-1940
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Roberta S. Sigel
Multi-Generational Study in a Women’s College
Department of Political Science
Rutgers, The State University of New Jersey
$34,960

Bets Ann Smith and Jeffrey D. Wilhelm
Lighthouse Programming
Department of Educational Administration
Michigan State University
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Barbara J. Shircliffe
The History of Desegregation of Historically Black High Schools in Hillsborough County, Florida from 1954-1973
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University of South Florida
$29,900

Michael W. Smith
Boys and Books: Studying Boys’ Engagement in and Understanding of Reading
Department of Learning and Teaching
Rutgers, The State University of New Jersey
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We Teach. They Listen. They go Teach. It falls apart. They Say We’re No Help- What Can We Do?
Department of Elementary Education
University of Georgia
$25,600

Michele Yerushalmy
Understanding Teachers’ Understanding of Algebra Taught with the Support of Graphing Technology
Faculty of Education
University of Haifa
Israel
$33,000

Sandra J. Stein
Concrete and Cotton Gins’ Distance, Difference and Collaborative Art
School of Public Affairs
Bernard M. Baruch College, City University of New York
$34,950

Alex Stepick
Academic Orientation of Immigrant and Native-Born Minorities
Department of Anthropology and Sociology
Florida International University
$34,950

Wayne A. Wiegand
The History of the American Public School Library
Department of Library and Information Studies
University of Wisconsin-Madison
$35,000

Carlos Alberto Torres
Teachers Unions and the State: Value Conflicts and Collaborative Strategies in Educational Reform in Argentina, Canada, Japan, Korea, Mexico, and the United States
Graduate School of Education and Information Studies
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Learning in an Urban Professional Development School
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Understanding Teachers’ Understanding of Algebra Taught with the Support of Graphing Technology
Faculty of Education
University of Haifa
Israel
$33,000

Michael Fullan and Nancy Watson
The Role of the District: Alternate “Drivers” for Professional Development
Ontario Institute for Studies in Education
University of Toronto
Canada
$149,400 in 1998

Merryl R. Goldberg
SHAVE: Examining the Role of Coaching as a Professional Development Model
College of Education
California State University, San Marcos
$150,000 in 1997
Cynthia L. Greenleaf and Ruth Schoenbach
Close Readings: A Study of Key Issues in the Use of Literacy Learning Cases for the Professional Development of Secondary Teachers
The HERALD Project
WestEd Regional Education Laboratory
San Francisco, California
$150,000 in 1997

Pamela Grossman and Samuel S. Wineburg
Studying a Community of Learners: A Department-Based Model of Professional Development
School of Education
University of Washington
$150,000 in 1998

Catherine C. Lewis and Victor Battistich
Educational Change and the Role of Teacher Community: Understanding the Effects of the Child Development Project
The Developmental Studies Center
Oakland, California
$149,700 in 1997

Judith Warren Little
Teacher Professional Development in the Context of Secondary School Reform
Graduate School of Education
University of California, Berkeley
$150,000 in 1998

Susan L. Lyon
How Teachers Lead: The Practices of Collegial Professional Development for Change in Urban Secondary Schools
Graduate School of Education
University of Pennsylvania
$150,000 in 1999

G. Williamson McDiarmid
Teachers in Charge: A Study of Kentucky Teachers’ Professional Development Plans
National Center for Research on Teacher Learning
University of Alaska, Anchorage
$150,000 in 1996

Fred M. Neumann and M. Bruce King
Professional Development to Build School Capacity: The Influence of Districts and States
Wisconsin Center for Education Research
University of Wisconsin-Madison
$150,000 in 1999

Douglas D. Noble
Work-Based Curriculum Professional Development
Cobblestone School
State University of New York at Geneseo
$146,260 in 1998

Annamarie S. Palincsar and Shurley J. Magnuson
Three Activity Settings Supporting Communities of Practice Among Teachers
School of Education
University of Michigan
$105,078 in 1997

Katherine Schultz and Thea Abu El-Haj
Twenty Years of Reflection and Action: Lessons from a Collaborative Professional Development Group
Graduate School of Education
University of Pennsylvania
$150,000 in 1999

Alan Taylor and Kathleen Medina
Every Teacher An Historian
Area 5 History and Cultures Project
University of California, Davis
$149,050 in 1998

Edward F. Tobia, M. Bruce Haslam, and Katrina Laguarda
Sustained Professional Development and Reform: The Work of San Antonio’s Instructional Guides
San Antonio Independent School District
San Antonio, Texas and Policy Studies Associates
Washington, District of Columbia
$147,200 in 1998

Vivian Troen, Katherine C. Boles, and Mako Kuniti
A Study to Analyze the Process, Conditions, and Policy Arrangements that Support Teacher Learning in a Successful Professional Development Site
Brookline Public Schools
Brookline, Massachusetts
$149,550 in 1997

Aida Walqui
Exemplary Professional Development For Teachers of English Language Learners
Education Department
University of California, Santa Cruz
$150,000 in 1999

Dennie Palmer Wolf
Going for Broke: Sustained Professional Development for Mid-Career Teacher-Leaders Performance Assessments
Collaboratives for Education (PACE)
Graduate School of Education
Harvard University
$122,011 in 1997

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Mathematical Discourse in the First and Second Grade Classroom
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$30,000 in 1999

Robert E. Brooke
Southeast Nebraska Study Group on Teacher Research for Public Engagement
Department of English
University of Nebraska-Lincoln
$30,000 in 1999

Carol Collins and Debra P. Cox
Examining the Effects on Reading, Writing, and Learning Skills Through a Creative Drama Integrated Curriculum
The School District of Oconee County
Walhalla, South Carolina
$30,000 in 1999

Barbara M. Comber
A Project Designed to Examine the Work of the South Australian Community of Teacher-Researchers
Language and Literacy Research Centre
University of South Australia
Australia
$30,000 in 1999

Andrea S. Cunningham, Sandra A. Brown, and Leslie Franks
The Portland Teacher-Research Writing Group
The Portland Teacher-Research Group
Lewis and Clark College
$30,000 in 1999

Elyse Edman-Aadahl
Mongolia Reading/Writing For Critical Thinking Teacher-Research Effort
National Writing Project
Berkeley, California
$29,925 in 1999

Gail Gibson and Martha H. LaPointe
The Teacher Research Group at Mapleton Elementary School
Mapleton Elementary School
Mapleton, Maine
$30,000 in 1999

Lorie Hammond and Susan M. Heredia
Incorporating Community Voices in School Curriculums: A Collaboration Between Teacher Researchers, Preservice Teachers, University Researchers, and the Community in Which They Teach
California State University, Sacramento
$30,000 in 1999

Allison Perry Holsten
The Field Work Project: Teachers Examine an Ethnographic Approach to Student Research and Writing
The Matanuska-Susitna Borough School District
Palmer, Alaska
$29,500 in 1999

Elizabeth R. Howard
Two-Way Immersion Teacher-Research Collaborative Center for Applied Linguistics
Washington, District of Columbia
$29,800 in 1999

Carol B. Jenkins and Alice Altfillsch Earle
Intertextuality in Children’s Nonfiction Writing
School of Education
Boston University
$30,000 in 1999

Rex Lee Jim and Anna Lee Walters
Oral Navajo and Written English-A Study
Office of Educational Philosophy
Dine College
$30,000 in 1999

Daniel R. Meier
Promoting Practitioner Research in Early Childhood Education-A Collaborative Focus on Language, Development, and Diversity
Department of Elementary Education
San Francisco State University
$27,830 in 1999

Karen G. Mitchell
The Way That Matters Most: A Project Proposal for Changing Classroom Practice
The Breadloaf School of English
Middletown College
$30,000 in 1999

Judith Murphy
Creating Educational Solutions in the Mexican Community: Building a Capacity for Research as Part of School Development
Cristo Rey Jesuit High School
Chicago, Illinois
$30,000 in 1999

Susan F. Proulx
Bringing the Classroom to the Table
Worcester Public Schools
Worcester, Massachusetts
$29,980 in 1999

Steven B. Sachs
Examining and Facilitating Children’s Talk About Their Educational and Vocational Goals: A Practitioner-Research’s Model for Effective Decision Making Guidance
Department of English
Clark University
$30,000 in 1999

David William Schaadoma, Marvella Fleischman Pixley, and Laura Schneider-Yarder
Writing Across Cultures: Student Dialogue On-Line
Department of English
University of Illinois at Chicago
$30,000 in 1999

Sue Shore
A Project Designed to Develop a Visible Research Culture in Adult Literacy Education
Adult Literacy Research Network
University of South Australia
Australia
$30,000 in 1999

Gail J. Sklar
What Happens to Teacher Practice and Student Learning When Teachers in a Small Learning Community Take an Inquiry Approach and/or Problem-Based Approach in Their Classrooms? Philadelphia Education Fund
Philadelphia, Pennsylvania
$30,000 in 1999

Angela Whitelaw
Re-Searching Insider Knowledge and Experience
Memphis City Schools
Memphis, Tennessee
$30,000 in 1999
<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
<th>Institution</th>
<th>Award Year</th>
<th>Notes</th>
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<tbody>
<tr>
<td>Joseph C. Campione</td>
<td>Psychological Theory and Educational Reform: From the Committee of Ten to the Bush Initiatives</td>
<td>Graduate School of Education, University of California, Berkeley</td>
<td>1992</td>
<td></td>
</tr>
<tr>
<td>Courtney B. Cazden</td>
<td>Writing Development and Instruction in the English-Writing World</td>
<td>Graduate School of Education, Harvard University</td>
<td>1991</td>
<td></td>
</tr>
<tr>
<td>Michael Cole</td>
<td>Creating and Sustaining New Forms of Educational Activity in Community Settings</td>
<td>Department of Communication, University of California, San Diego</td>
<td>1995</td>
<td></td>
</tr>
<tr>
<td>Linda Darling-Hammond</td>
<td>Developing Powerful Teaching</td>
<td>School of Education, Stanford University</td>
<td>1995</td>
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<tr>
<td>Glen H. Elder</td>
<td>Honor Development and the Life Course</td>
<td>Carolina Population Center, University of North Carolina at Chapel Hill</td>
<td>1999</td>
<td></td>
</tr>
<tr>
<td>Amy Gutmann</td>
<td>Constructing Civic Education in a World of Conflicting Religious, National, and International Identities</td>
<td>The University Center for Human Values, Princeton University</td>
<td>1999</td>
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</tr>
<tr>
<td>Kenji Hakuta</td>
<td>Testing Key Hypotheses About Educating Language Minority Students</td>
<td>School of Education, Stanford University</td>
<td>1998</td>
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</tr>
<tr>
<td>Susan Moore Johnson</td>
<td>The Next Generation of Teachers: Studies of a Profession in Transition Graduate School of Education, Harvard University</td>
<td>$365,000 in 2000</td>
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<tr>
<td>Michael R. Katz</td>
<td>Untitled</td>
<td>Department of History, University of Pennsylvania</td>
<td>2000</td>
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<tr>
<td>Catherine E. Snow</td>
<td>Studies in Language and Literacy</td>
<td>Graduate School of Education, Harvard University</td>
<td>1999</td>
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</tr>
</tbody>
</table>

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

Julia Aguirre  
Teaching High School Mathematics in a Climate of Reform: The Influence and Interaction of Teacher Beliefs and Department Culture on Instructional Decision-Making and Practice  
Graduate School of Education, University of California, Berkeley

Lisa Bouillion  
Tapping Cultural Practice: Community Participation in Design for Curricular Authenticity  
School of Education and Social Policy, Northwestern University

Rachel Christiina  
NGOs and the Negotiation of Local Agency in Educational Development: A Case Study of Palestinian Early Childhood Education  
School of Education, Indiana University

Xiaoping Cong  
Localizing the Global, Nationalizing the Local: The Role of Teachers’ Schools in China’s Modernization, 1897-1949  
Department of History, University of California, Los Angeles

Camille Wilson Cooper  
Market-based School Reform and the Standpoint of African American Mothers: Values, Choices and Strategies  
Graduate School of Education and Information Studies, University of California, Los Angeles

Rachelle Douciert  
Language Ideology and Language Pedagogy in Haitian Schools and Society  
Department of Anthropology, New York University

Lawrence Gallagher  
Epistemological Adaptation: Personal and Situational Attributes that Frame “Knowing”  
School of Education, Stanford University

Gabriella Gonzalez  
Family Background, Ethnicity, and Immigration Status: A Longitudinal Analysis of School Success for Immigrant and Native-Born Asian and Latino Students  
Department of Sociology, Harvard University

Dale Allen Cyure  
The Transformation of the Schoolhouse: American Secondary School Architecture and Educational Reform, 1890-1930  
School of Architecture, University of Virginia

Richard Halverson  
Representing Phenomena: Supporting Transformational Leadership Practice in Schools  
School of Education and Social Policy, Northwestern University

Charles Israel  
“Those Can Be No Education Without Religion”: Tennessee Evangelicals and Education, 1875-1925  
Department of History, Rice University

Brian Jacob  
Making the Grade: The Impact of High-Stakes Testing on Student Achievement  
Graduate School of Public Policy, University of Chicago

Norma Jimenez  
“Quis va a Sobresalir” (Who will Come Out Ahead?): Exploring Academic Achievement among Low-Income Adolescents of Mexican Descent across Different Generations  
Graduate School of Education, Harvard University

Hyang-Jin Jung  
Socialization of “Persons” in Early Adolescence: Ethnographic Research on an American Junior-High School  
Department of Anthropology, University of Minnesota

Andrea Lawson Kortenhoven  
Raising their Voices: Black Girls’ Verbal Culture in the Face of Hegemonic Femininity  
Department of Linguistics, Stanford University

Elizabeth Litell-Lamb  
“To Seek a Place in the Social Revolution”: Xin Funu (Modern Women), Christian Women’s Institutions, and Feminist Objectives in Republican China (1911-1949)  
Department of History, Carnegie Mellon University

Yoalnda Majors  
Lighting the Boundaries: A Contextual Alliance of Cognitive Inquiry in Classroom Instruction  
School of Education, University of Iowa

Leticia Marteleteo  
The Role of Demographic and Family Change on Children’s Schooling: Evidence from Brazil  
Department of Sociology, University of Michigan

Lucia McMahon  
Gender, Education, and Sociability in the Early Republic  
Department of History, Rutgers, The State University of New Jersey

Cwendolyn Thompson McMillon  
A Tale of Two Settings: African American Students’ Literary Experiences at Church and at School  
College of Education, Michigan State University

Karla Moller  
Reading Socially in a Multicultural World: Fourth and Fifth Graders’ Group Discussions of Literature with Social Justice Themes  
School of Education, University of Georgia

Seeta Pai  
Schooling and Demographic Change among Multiple Cohorts of Women in Palakkad, Kerala  
Graduate School of Education, Harvard University

Craig Peck  
“Educate to Liberate”: The Black Panther Party and Political Education  
School of Education, Stanford University
Spencer Dissertation Fellows

Robert Ream
On the Move: Student Mobility as a Contributing Factor in the Achievement Gap between Mexican-Americans and Non-Latino White Americans
School of Education
University of California, Santa Barbara

Lorna Rivera
Learning Community: An Ethnographic Study of Homeless Women and Popular Education in a Shelter-Based Adult Literacy Program
Department of Sociology
Northeastern University

Rebecca Sandak
Investigating the Causal Relationships among Speech (and Non-Speech Auditory) Perception, Phonemic Awareness, and Reading Skill
Department of Psychology
University of Pittsburgh

Robert Joseph Culp
Schooling and the Social Body: Shaping Citizens in China’s Lower Yangzi Region Schools, 1911-1937
Department of History
Bard College

Sarah Virginia Barnes
Gender and General Education at Landgrant Universities
Department of History
University of Northern Colorado

Lorraine R. Bell
The Returns to Returning to School: The Effect of Mid-Life Schooling on Wages
Department of Sociology
University of Wisconsin-Madison

Katerine M. Bielaczyc
Facilitating Reflective Dialogue among Teachers: An Investigation of Student Reflections as Objects of Inquiry
School of Education
Boston College

Amy Sue Bix
Engineering Education for American Women: An Intellectual, Institutional, and Social History
Department of History
Iowa State University

Claudia Buchmann
Toward Educational Equality in the New South Africa: Possibilities and Constraints in Families and Communities
Department of Sociology
Duke University

Kathleen M. Breslin
The Gender and General Education at Landgrant Universities
Department of History
University of Northern Colorado

Janell Scott
Reinventing Urban School Governance: Privatization and Decentralization in Charter School Reform
Graduate School of Education and Information Studies
University of California, Los Angeles

Susan Sears
Race, Citizenship, and the Institutionalization of English: A Historical Inquiry into the Future of the Field
Department of English
Pennsylvania State University

Wendy Sharer
Spreading the Word: Publicity, Education, and Activism in U.S. Women’s Organizations, 1930-1940
Department of English
Pennsylvania State University

Aaron Stainaker
Overcoming Our Evil: Mapping the Human Path with Xunzi and Augustine
Department of Religious Studies
Brown University

Christopher R. Swanson
Riding the Waves or Driving the Tide?: Educational Reform and Institutional Change
Department of Sociology
University of Chicago

Emiliana Vega
Teacher Incentives and Teacher Quality in Latin America
Graduate School of Education
Harvard University

Leisy Wyman
Language Ideologies, Youth Culture, and Bilingualism: a Zapotec Example
School of Education
Stanford University

The Spencer Dissertation Fellowships Program is administered by the Spencer Foundation. Inquiries may be directed to: Dissertation Fellowship Program, The Spencer Foundation, 875 North Michigan Avenue, Suite 3930, Chicago, IL 60611-1803.
<table>
<thead>
<tr>
<th>Postdoctoral Fellows</th>
<th>Title</th>
<th>Institution</th>
</tr>
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<tbody>
<tr>
<td>Theodore Paul Gerber</td>
<td>Education, Inequality, and Social Change in Post-Soviet Russia</td>
<td>University of Arizona</td>
</tr>
<tr>
<td>Leslie Rupert Herrenköhl</td>
<td>The Impact of Market Competition on Urban School Systems</td>
<td>University of Virginia</td>
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<tr>
<td>Cynthia Lewis</td>
<td>Critical Engagement: Multicultural Texts in a Rural Context</td>
<td>University of Virginia</td>
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<tr>
<td>Liping Ma</td>
<td>Knowing and Teaching Elementary Mathematics: Unpacking the Packages of Teachers’ Understanding</td>
<td>Menlo Park, California</td>
</tr>
<tr>
<td>Jeffrey A. Milligan</td>
<td>Mosque and School in the Southern Philippines: Negotiating Religious Identity in the Public Education of a Diverse Society</td>
<td>Nebraska-Lincoln</td>
</tr>
<tr>
<td>Robert P. Moreno</td>
<td>Effective Instructional Practices Among Mexican Americans: An Ecocultural Approach</td>
<td>University of Illinois at Urbana-Champaign</td>
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<tr>
<td>Carla D. O'Connor</td>
<td>Black Identity and the Variation in Adaptations that Facilitate School Success: Preliminary an Ecological Analysis</td>
<td>University of Michigan</td>
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<tr>
<td>Marjorie Faulstich Orellana</td>
<td>Immigrant Children as Child Language Brokers: Leveraging Skills for Literacy Learning</td>
<td>School of Education and Social Policy University of Michigan</td>
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<tr>
<td>Marianne E. Page</td>
<td>Does This Make a Difference?</td>
<td>Department of Economics University of California, Davis</td>
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<tr>
<td>Meredith Phillips</td>
<td>Why do African American and Latino Students Underperform in College Relative to White and Asian Students with Comparable SAT Scores and High School Grades? School of Public Policy and Social Research University of California, Los Angeles</td>
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<td>Deirdre Alexa Royster</td>
<td>Work-Bound Youth, Schools, Families and Employers: Making the Connections Department of Sociology University of Massachusetts Amherst</td>
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<tr>
<td>Robert Keith Sawyer</td>
<td>Why Collaboration Works: Collaborative Emergence in Group Learning Environment Department of Education Washington University</td>
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<tr>
<td>Jay Paredes Scrubner</td>
<td>Exploring the Influence of Organizational Context on Teacher Learning College of Education University of Missouri-Columbia</td>
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<tr>
<td>J. Douglas Smith</td>
<td>Managing White Supremacy: Education, Politics, and Citizenship in Virginia, 1919-1954 Division of Humanities and Social Sciences California Institute of Technology</td>
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<tr>
<td>Mitchell Lloyd Stevens</td>
<td>Commensuration and Decision-Making in College Admissions Department of Sociology Hamilton College</td>
<td></td>
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<tr>
<td>Melissa Ladd Teed</td>
<td>Education and Women’s Public Identity in Nineteenth Century Hartford, Connecticut</td>
<td>Department of History Saginaw Valley State University</td>
</tr>
<tr>
<td>Ron Truax</td>
<td>Relating Conceptual Learning and Teaching in Mathematics College of Education</td>
<td>Pennsylvania State University</td>
</tr>
<tr>
<td>Kevin Grant Welner</td>
<td>Returning to Court: Equity, Opportunity, Education, and the Law School of Education</td>
<td>University of Colorado at Boulder</td>
</tr>
<tr>
<td>Joy Ann Williamson</td>
<td>1960’s Higher Education Reform: An Interaction of Initiatives School of Education</td>
<td>Stanford University</td>
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<tr>
<td>Jon A. Yasin</td>
<td>Using Original Rap Lyrics in the Writing Classroom Division of Arts and Humanities Bergen Community College Paramus, New Jersey</td>
<td></td>
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<tr>
<td>The National Academy of Education/Spencer Postdoctoral Fellowship Program is administered by the National Academy of Education through grants of $5,369,000 over three years made in the 1998 and 1999 fiscal years by the Foundation. Inquiries may be directed to: National Academy of Education, School of Education, New York University, 726 Broadway, Suite 509, New York, NY10003-9580</td>
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</table>
AMERICAN EDUCATIONAL RESEARCH ASSOCIATION/SPENCER FOUNDATION PRE-DISSertation RESEARCH FELLOWS

Sumaya Abu-Haidar
Talking Power: Towards Meaningful Inclusion in Public Deliberation
School of Education
University of Colorado at Boulder

Elizabeth Becker
Conceptual Change in Preservice Teachers: The Role of Personal Teaching Efficacy and Implicit Theories in Understanding and Implementing Constructivist-Oriented Mathematics Reforms
College of Education
University of North Carolina at Chapel Hill

Tiina Ikonsen
Identity Group Influence in the Making of National Special Education Policy
Graduate School of Education
University of California, Santa Barbara

Carolyn Lauter
Researching Issues of Language, Culture, Power and Identity in Language Minority Populations in Educational Contexts, including Non-Formal Education
College of Education
Pennsylvania State University

Maria Martinez-Cosio
School Choice and the Link between Educational Quality and Inner-City Neighborhood Revitalization
Department of Sociology
University of California, San Diego

Maritza Nunez-James
Education, Culture, and Ethnic Identity: Constructing ‘Hispanic/Hispanic’ Ethnicity in Bilingual Education Classrooms
Department of Anthropology
University of New Mexico

John Palmer
Exploring the Bi-Cultural Riddle: A Case Study of How 1.5 Generation Asian American High School Students Negotiate Their Racial Identities
College of Education
University of Iowa

Nadine Pinede
Literature and the Moral Imagination
School of Education
Indiana University

Bethany L. Rogers
Social Policy, Teaching and Youth Activism in the 1960s: Views of the National Teacher Corps
School of Education
New York University

Tammy Schwartz
Urban Appalachian Girls: Writing and Identity
College of Education
University of Cincinnati

Kendra Sisserson
Writing Pedagogy and Assessment
Department of Education
University of Chicago

Jennifer Somerindyke
The Exclusion of Girls in Rough and Tumble Play Research
College of Education
University of South Carolina - Columbia

Karen Titworth
Anyone Can be a Mother, But Not a Mommy: Single Mother’s Reflections on Mothering, Being Mothered and Literacy
College of Education
University of Cincinnati

Ruth Trinidad
Anthropology of Education—Latino/a Community Education and Empowerment
Graduate School of Education
University of Utah

Jeannine Williams-Dingus
Teacher Education, Looking Specifically at Families of Black Teachers
College of Education
University of Washington

AMERICAN EDUCATIONAL RESEARCH ASSOCIATION/SPENCER FOUNDATION PRE-DISSertation TRAVEL GRANTS

Michele Greigore
Conceptual Change in Preservice Teachers: The Role of Personal Teaching Efficacy and Implicit Theories in Understanding and Implementing Constructivist-Oriented Mathematics Reforms
College of Education
University of Florida

Elizabeth Hardman
Moral Development
College of Education
University of Florida

The American Educational Research Association/Spencer Pre-Dissertation Fellowship Programs are administered by the American Educational Research Association (AERA) through a grant of $1,250,000 made in the 1997 fiscal year by the Foundation. Inquiries may be directed to: AERA/Spencer Pre-Dissertation Fellowship Programs, The American Educational Research Association, 1230 17th Street NW, Washington, District of Columbia 20036.
SPENCER FELLOWS AT THE CENTER FOR ADVANCED STUDY IN THE BEHAVIORAL SCIENCES

Larry Cuban
History of School Reform
School of Education
Stanford University

Sarah Warshauer Freedman
Written Language Acquisition, Teacher Research, Teacher Education, and Urban School Reform
Graduate School of Education
University of California, Berkeley

Michael Fultz
History of African-American Education
School of Education
University of Wisconsin-Madison

Ernest House
Evaluation of Education and Social Programs
School of Education
University of Colorado at Boulder

Gil Noam
Risk and Resilience Research, Developmental Psychology and Developmental Psychopathology, Biographical Research and Psychoanalysis
Graduate School of Education
Harvard University

Fellowship awards are administered by the Center for Advanced Study in the Behavioral Sciences through a grant of $1,500,000 over five years made in the 2000 fiscal year by the Foundation. Inquiries may be directed to: Director, Center for the Advanced Studies in the Behavioral Sciences, 75 Alta Road, Stanford, CA 94305-8090.

ADVANCED STUDIES RESEARCH GROUP PLANNING GRANTS

Anthony S. Bryk
Research and Planning for a Postdoctoral Program of Urban Schools
Center for School Improvement
University of Chicago
$40,000

Michael Cole
Planning for a Postdoctoral Program in Education and Development
Center for Human Development
University of California, San Diego
$44,200

Vivian L. Gadzden and Susan H. Fuhrman
Establishing an Urban Education Research Fellowship Program
Graduate School of Education
University of Pennsylvania
$50,000

Andrew Hargreaves and Lorna M. Earl
Planning for a Research Group Fellowship
International Centre for Educational Change/Ontario Institute for Studies in Education
University of Toronto, Canada
$50,000

Carl F. Kaestle
Federal Education Programs and Local Schools: An Advanced Postdoctoral Research Training Program
Education Department
Brown University
$43,000

David F. Labaree
Planning for a Postdoctoral Program in Research on Educational Practice
College of Education
Michigan State University
$50,000

James M. McPartland
Planning for a Research Group Fellowship
Center for the Social Organization of Schools/Department of Sociology
Johns Hopkins University
$50,000

ADVANCED STUDIES RESEARCH GROUP FELLOWSHIP AWARDS

Anthony S. Bryk
Consortium on Chicago School Research: Postdoctoral Training Program
Center for School Improvement
University of Chicago
$1,380,000

The Advanced Studies Fellowship Program, through Research Group Fellowship and Institute/Seminar Awards, was established in fiscal year 2000 to strengthen the research capabilities and enhance the professional networks of early career scholars. Institute/Seminar Awards are made to groups of researchers in support of short-term institute- or seminar-like activities designed to advance the research careers of beginning scholars. No Institute/Seminar Awards were authorized in fiscal year 2000. Research Group Fellowship Awards are made to senior researchers to establish innovative fellowship programs for cohorts of postdoctoral fellows. Those submitting a proposal for Research Group Fellowship funding must have first applied for and been awarded a Planning Grant.
RESEARCH TRAINING GRANTS

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

College of Education
Michigan State University
East Lansing, Michigan

School of Education
University of Michigan
Ann Arbor, Michigan

Graduate School of Education
University of Pennsylvania
Philadelphia, Pennsylvania

Jolley Bruce Christman, Thea Abu El-Haj, and Ellen L. Foley
Students, Teachers and High Standards Reforms: Negotiating Education Policy, Classroom Practice and Student Outcomes in Philadelphia Middle Schools
Research for Action
Philadelphia, Pennsylvania
$49,600

Lawrence Hernandez
Leuven Community Charter School Research Initiative
Graduate School of Education
Harvard University
$50,000

M. Bruce King and David Chawetszewski
District-wide Standards-Based Reform and Its Impact on Teaching and Learning
Wisconsin Center for Education Research
University of Wisconsin-Madison
$50,000

Stephanie L. Knight and David A. Erlandson
Closing the Urban Gap: The Interaction of Reform and the Achievement of All Students
School of Education and Social Policy
Northwestern University
Evanston, Illinois

Terry Mazany and Karen K. Wixson
Closing the Achievement Gap: The Reculturing of a District
Southfield Public Schools
Southfield, Michigan
$47,520

CONFERENCE GRANTS RELATED TO RESEARCH TRAINING

University of Pennsylvania/University of California, Los Angeles Doctoral Student Exchange Program. Year Two.
Graduate School of Education and Information Studies
University of California, Los Angeles and Graduate School of Education
University of Pennsylvania

Preparing Researchers to Study Practice
College of Education
Michigan State University

Second Planning Retreat for Deans/Directors Participating in the Spencer Foundation’s Research Training Grant Program
School of Education
University of Michigan

The Spencer Foundation periodically supports conferences for the community of Research Training Grant institutions to explore topics related to the training of researchers in education. Awards range from $40,000 to $50,000. Applications are accepted annually from Research Training Grant institutions.

RESEARCH ON SCHOOL REFORM PLANNING GRANTS

Jacqueline Ancess
The Sustainability of Reform: How Can a Bottom-Up Reform Survive a Top-Down School System?
National Center for Restructuring Education, Schools, and Teaching
Teachers College, Columbia University
New York, New York

Lawrence Hernandez
Leuven Community Charter School Research Initiative
Graduate School of Education
Harvard University
$50,000

M. Bruce King and David Chawetszewski
District-wide Standards-Based Reform and Its Impact on Teaching and Learning
Wisconsin Center for Education Research
University of Wisconsin-Madison
$50,000

Stephanie L. Knight and David A. Erlandson
Closing the Urban Gap: The Interaction of Reform and the Achievement of All Students
School of Education and Social Policy
Northwestern University
Evanston, Illinois

Terry Mazany and Karen K. Wixson
Closing the Achievement Gap: The Reculturing of a District
Southfield Public Schools
Southfield, Michigan
$47,520

Jolley Bruce Christman, Thea Abu El-Haj, and Ellen L. Foley
Students, Teachers and High Standards Reforms: Negotiating Education Policy, Classroom Practice and Student Outcomes in Philadelphia Middle Schools
Research for Action
Philadelphia, Pennsylvania
$49,600

The Research Training Grant Program supports research training in the field of education. In the 1997 fiscal year, the Spencer Foundation made grants to nine institutions. Grants to two additional institutions were made in fiscal years 1998 and 1999. In fiscal year 2000, a twelfth grant was awarded. Awards range from $500,000 to $2 million, bringing the total amount awarded to all twelve institutions to $13,200,000.
Research on School Reform Planning Grants

- Joseph P. McDonald, LaRue Allen, Norm D. Frachter, and Ellen Condiffe Lagemann
  School Reform in New York City: A Planning Proposal
  School of Education
  New York University
  $49,950

- Judith Haymore Sandholtz and Rodney T. Ogawa
  Integrating Mathematics Curriculum and Instruction Across Levels of School
  School of Education
  University of California, Riverside
  $49,800

- David G. Meissner, Emily S. Yen Dunk and Anneliese M. Dickman
  Implementing a Return to Neighborhood Schools: The Dynamics and Challenges of Ending Desegregation
  Public Policy Forum
  Milwaukee, Wisconsin
  $49,950

- Kenneth K. Wong
  The Consequences of Accountability: The Effects of Integrated Governance on Instructional Practices in Chicago High Schools
  Department of Education
  University of Chicago
  $49,300

The Research on School Reform Initiative supports teams of researchers investigating the consequences of school reform. Those invited to submit a proposal for funding must have first applied for and been granted a Planning Grant. At this time, no new requests for funding under this initiative are being accepted. Requests for support for research on school reform can be made to the Spencer Foundation’s Small Research Grants or Major Research Grants Program. The Spencer Foundation, 875 North Michigan Avenue, Suite 3930, Chicago, IL 60611-1803.

SPENCER FOUNDATION MENTOR NETWORK AWARDS

- Margaret A. Eisenhart and Kenneth R. Howe
  College of Education
  University of Colorado at Boulder

- Sylvia Hurtado
  School of Education
  University of Michigan

- Karen C. Fason
  School of Education and Social Policy
  Northwestern University

- Donna Kerr
  College of Education
  University of Washington

- Edward H. Haertel
  School of Education
  Stanford University

- Milbrey W. McLaughlin
  School of Education
  Stanford University

- Violet J. Harris
  College of Education
  University of Illinois at Urbana-Champaign

- John U. Ogbu
  Graduate School of Education
  University of California, Berkeley

- Kenneth K. Wong
  Department of Psychology
  University of Michigan

- Judith Haymore Sandholtz and Rodney T. Ogawa
  Integrating Mathematics Curriculum and Instruction Across Levels of School
  School of Education
  University of California, Riverside
  $49,800

- Milbrey W. McLaughlin
  Department of Education
  University of California, Berkeley
  $49,300

SPENCER FOUNDATION-SPONSORED CONFERENCES

Women’s Studies and the Study of Women: What Do We Know About Them and Their Influence? September 30-October 1, 1999 Chicago, Illinois
Organizer: Catharine Stimpson
New York University
Sociology and Education
March 2-3, 2000
Atlanta, Georgia
Organizers: Michael Hout
University of California, Berkeley, Pamela Barnhouse Walters
Indiana University, and Felice Levine
American Sociological Association

New Directions in the History of Education
March 30-31, 2000
Stanford, California
Organizers: Ruben Dorato
University of Colorado at Boulder, and Marvin Lazerson
University of Pennsylvania

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

Daniel Alexandrov
Current State of Russian Education: What Do We Know About It and How Can We Make Its Assessment?
Department of Political Sciences and Sociology
European University at St. Petersburg
Russia
$43,770

Tom R. Bennett
Second International Conference on Math Education
College of Education
California State University, San Marcos
$50,000

Mildred Collins Blackman
Who Will Lead? Crisis in the Principal’s Office
Graduate School of Education
Harvard University
$50,000

Christopher T. Cross
Beyond the Standards Horse Race: Implementation, Assessment, and Accountability—The Keys to Improving Student Achievement
Council for Basic Education
Washington, District of Columbia
$25,000

George Fitchett
Twenty Years of Supervision and Training in Ministry: Where Have We Been? Where Will We Go?
Department of Religion, Health, and Human Values
Rush-Presbyterian-St. Luke’s Medical Center
Chicago, Illinois
$33,160

Linda Gordon
International Planning Conference
On Education About Women’s Movements
Department of History
New York University
$10,900

Sara Harkness, Charles McAlee, Super, and Jesus Palacios
Cultural Strategies for Children’s Successful Development
School of Family Studies
University of Connecticut
$49,925

Heila Jordaan and Claire Penn
Second Symposium on Communication Disorders in Multilingual Populations
Department of Speech Pathology and Audiology
University of the Witwatersrand
South Africa
$30,550

Steven J. Mailloux and Robert J. Blake
The Acquisition of Advanced Literacy
Humanities Research Institute
University of California, Irvine
$7,600

Karen Maloney
Teacher Workshop on Writing for Publication
Harvard Education Letter
Harvard University
$23,650

Luther H. Martin
The Academic Study of Religion During the Cold War: Ideological and Theological Constraints, East and West
Department of Religion
University of Vermont
$14,000

Kevin McDonough and Walter Feinberg
Collective Rights and Cosmopolitan Values: A New Research Agenda for Public Education in Liberal-Democratic Societies
Department of Culture and Values
McGill University
Canada
$33,230

Timothy J. McManus and Wilma F. Smith
Agenda for Education in Democracy: A Forum on Developing Democratic Character in the Young
Institute for Educational Inquiry
Seattle, Washington
$50,000

Robert T. Michael
Early Results Conference
Harris Graduate School of Public Policy Studies
University of Chicago
$30,000

Baruch Nevo
A Research Workshop to Facilitate the Development of the Scholarly Aspects of the Field of Peace Education
The Center for Research on Peace Education
University of Haifa
Israel
$12,000

Suzanne M. Perrino and Frances H. Rauscher
Early Childhood Symposium
Pittsburgh Symphony Orchestra
Pittsburgh, Pennsylvania
$25,000

Karen Maloney
Teacher Workshop on Writing for Publication
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Harvard University
$23,650

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Timothy J. McManus and Wilma F. Smith
Agenda for Education in Democracy: A Forum on Developing Democratic Character in the Young
Institute for Educational Inquiry
Seattle, Washington
$50,000

Robert T. Michael
Early Results Conference
Harris Graduate School of Public Policy Studies
University of Chicago
$30,000
Research Conference Grants

Lois Weis and Isabel Marcus  
*Urban Girls: Entering the New Millennium*  
Department of Educational Organization, Administration, and Policy  
State University of New York at Buffalo  
$50,000

Yali Zou and Enrique T. Trueba  
*The Role of Educational Ethnography in Pedagogy: Critical Ethnography in a Global and Interdisciplinary Perspective*  
Educational Leadership and Cultural Studies  
University of Houston  
$33,600

SOUTHERN INITIATIVE

Barnett Berry  
Supporting Educational Research & Teaching Quality in the Southeast  
Southeast Center for Teaching Quality  
The University of North Carolina at Chapel Hill  
General Administration  
$50,000 over one year

Kathrynn M. Borman  
Support for the planning of a research program for the Florida Educational Research Consortium  
David C. Anchin Center  
University of South Florida  
$50,000 over six months

Kenneth A. Dodge  
*Race, Poverty and Education Policy*  
Terry Sanford Institute of Public Policy  
Duke University  
$50,000 over one year

GRANTS IN PROGRESS

Madeleine Grumet and James L. Leloudis  
Support for the establishment of a new program entitled, “Race, Ethnicity and Schooling”: School of Education  
University of North Carolina at Chapel Hill  
$50,000 in 1999

Jacqueline J. Irvine, Jeffrey E. Mire and Vanessa Siddle Walker  
Establishment of the Southern Consortium for Educational Research in Urban Schools  
Division of Educational Studies  
Emory University  
$70,000 in 1999

Charles L. Thompson  
*Building North Carolina’s Capacity for Policy-Related Research: Planning a Multi-Campus Center*  
The North Carolina Education Research Council  
University of North Carolina General Administration  
$50,000 in 1999

Southern Initiative grants are intended to provide opportunities to improve and expand educational research in the South. Grants are awarded to university collaboratives for planning, research, fellowships, and training. Foundation staff, through the Office of the Vice President, request and approve proposals.
OTHER GRANTS

Daniel Alexandrov
Promoting Modern Studies of Education in Russia
European University, St. Petersburg
Russia
$10,000

Anthony S. Bryk
Support of a Postdoctoral Fellow
Center for School Improvement
University of Chicago
$38,560

Nancy Cantor
Establishment of an endowed chair to be named the Spencer Professorship of Organizational Studies in Education and Business
Department of Academic Affairs
University of Michigan
$1,500,000

Thom Clark
Chicago Successful Schools Project
Community Media Workshop
Chicago, Illinois
$10,000

Donors Forum of Chicago
Philanthropic Support
$17,820

John Q. Easton
Three years of support for the research activities of The Consortium on Chicago School Research
The Consortium on Chicago School Research
University of Chicago
$490,000

Charles Eisendrath
Support for three Education Journalism Fellowships
Michigan Journalism Fellows Program
The University of Michigan
$105,000

M. Elizabeth Graue
The Gift of Time: Promoting Risk or Resilience in Young Children
Department of Curriculum and Instruction
University of Wisconsin-Madison
$50,000

Anne C. Hallett
Planning grant for a study to implement the findings from an examination of the status of decentralization of key instructional and operations functions in Chicago
Cross City Campaign for Urban School Reform
Chicago, Illinois
$40,000

Howard Hiatt
Support for the conference Evaluation of Educational Policies American Academy of Arts and Sciences
$25,000

John F. Jennings
Support for a study of the effects of vouchers on American education
Center on Education Policy
Washington, D.C.
$25,000

Bill Kovach
Support for one Education Journalism Fellowship
Nieman Foundation
Harvard University
$35,000

Linda Lenz
Support for “Catapult: Voices of Chicago School Reform” Community Renewal Society
Chicago, Illinois
$155,000

Felice J. Levine
Support for a special issue of “Sociology of Education” Magazine
American Sociological Association
Washington, District of Columbia
$25,000

Donald R. Moore
Educational Quality and Equity Project
Designs for Change
Chicago, Illinois
$399,000

Jennifer A. O’Day
From Probation to Progress? School Probation Policies, Practices, and Results in Chicago Elementary Schools
Department of Educational Policy Studies
University of Wisconsin-Madison
$416,200

Aaron M. Pallas
Influences on the Development of Young Scholars in Education and the Social Sciences
Department of Counseling, Educational Psychology, and Special Education
Michigan State University
$24,710

The Philanthropy Roundtable
Philanthropic Support
$2,500

Tides Center/Grantmakers for Education
Philanthropic Support
$3,000

Ken Rolling
Expansion of the Chicago Annenberg Research Project
Chicago Annenberg Challenge
Chicago, Illinois
$150,000
### Other Grants

<table>
<thead>
<tr>
<th>GRANTS IN PROGRESS</th>
<th>Amount</th>
<th>Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Carole Bloch and Mastin Prinsloo</td>
<td></td>
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<tr>
<td>Home and School Influences on Early Literacy Learning by South Africa Children</td>
<td></td>
<td></td>
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<tr>
<td>Project for the Study of Alternate Education in South Africa</td>
<td></td>
<td></td>
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<tr>
<td>University of Cape Town South Africa</td>
<td>$100,000</td>
<td>1999</td>
</tr>
<tr>
<td>Ronald S. Burt and Joseph E. Janotta, Jr.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Building Bridges: A Study of Mentors and the Social Capital of Promising Minorities</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Chicago Management Council Chicago, Illinois</td>
<td>$45,000</td>
<td>1999</td>
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<tr>
<td>Alan S. Chartock</td>
<td></td>
<td></td>
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<tr>
<td>Support for coverage of educational research segments on the &quot;Best of Our Knowledge&quot; radio program</td>
<td></td>
<td></td>
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<tr>
<td>Virginia B. Edwards</td>
<td></td>
<td></td>
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<tr>
<td>Underwriting of educational research coverage in &quot;Education Week&quot; and &quot;Teacher Magazine&quot;</td>
<td></td>
<td></td>
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<tr>
<td>Editorial Projects in Education Bethesda, Maryland</td>
<td>$291,800</td>
<td>1997</td>
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<tr>
<td>Kelly Graves-Desai</td>
<td></td>
<td></td>
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<tr>
<td>Harvard Education Letter Initiative: Increasing our Impact on Schools</td>
<td></td>
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<tr>
<td>Harvard University</td>
<td>$150,000</td>
<td>1998</td>
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<tr>
<td>James Grossman</td>
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<tr>
<td>Postdoctoral Fellowships in the History of Education</td>
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<tr>
<td>Newberry Library Chicago, Illinois</td>
<td>$20,000</td>
<td>1997</td>
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<tr>
<td>John Merrow</td>
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<td></td>
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<tr>
<td>Support for radio forums on educational research</td>
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<tr>
<td>Joseph P. Newhouse and Carol H. Weiss</td>
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<tr>
<td>Post-Doctoral Fellowships in Evaluating Programs for Children</td>
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<tr>
<td>Harvard Project on Schooling and Children</td>
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<td></td>
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<tr>
<td>Harvard University</td>
<td>$720,600</td>
<td>1996</td>
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<tr>
<td>Melissa Roderick</td>
<td></td>
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<tr>
<td>The Effects of the Chicago Public Schools Promotion Policy and Summer Bridge Initiative on Student Achievement and Opportunity to Learn</td>
<td></td>
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<tr>
<td>School of Social Service Administration University of Chicago</td>
<td>$309,600</td>
<td>1999</td>
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<tr>
<td>Ken Rolling and Mark A. Smylie</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Evaluation of the Chicago Annenberg Challenge</td>
<td></td>
<td></td>
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<tr>
<td>Chicago Annenberg Challenge Chicago, Illinois</td>
<td>$320,000</td>
<td>1997</td>
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<tr>
<td>Andre Schöffer</td>
<td></td>
<td></td>
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<tr>
<td>Dissemination and Popularization of Educational Research</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The New Press</td>
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<td></td>
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<tr>
<td>New York, New York</td>
<td>$253,800</td>
<td>1999</td>
</tr>
</tbody>
</table>
GRANTEE PUBLICATIONS RECEIVED

M.Christopher Brown, III
The Quest to Define Collegiate Desegregation: Black Colleges, Title VI Compliance, and Post-Adams Litigation
Bergin & Garvey
Westport, Connecticut, 1999

David Buckingham
The Making of Citizens: Young People, News, and Politics
Routledge Publishers
New York, 2000

Richard W. Clark
Effective Professional Development Schools: Agenda for Education in a Democracy - Volume 3
Jossey-Bass Publishers
San Francisco, 1999

Barry M. Franklin, Ed.
When Children Don’t Learn: Student Failure and the Culture of Teaching
Teachers College Press
Columbia University
New York, 1998

Sarah Warschauer Freedman, Elizabeth Radim Simmons, Julie Shallhope Kalmus, Alex Casaseno, and The M-Class Teams
Inside City Schools
Teachers College Press
Columbia University
New York, 1999

Howard Gardner
The Disciplined Mind, What All Students Should Understand
Simon & Schuster
New York, 1999

Howard Gardner
Intelligence Reframed: Multiple Intelligences for the 21st Century Basic Books
New York, 1999

Artin Gincu
Children’s Engagement in the World: Sociocultural Perspectives
Cambridge University Press
New York, 1999

Rosemary Horowitz
Literacy and Cultural Transmission in the Reading, Writing and Revising of Jewish Memorial Books
Austin & Winfield, Publishers
San Francisco, 1999

Peter H. Kahn, Jr.
The Human Relationship with Nature: Development and Culture
The MIT Press
Cambridge, Massachusetts, 1999

Maurice Kogan and Stephen Hanney
Reforming Higher Education
Jessica Kingsley Publishers
Philadelphia, 2000

Ellen Condliffe Lagemann and Lee S. Shulman
Issues in Education Research: Problems and Possibilities
Jossey-Bass Publishers
San Francisco, 1999

Sara Lawrence-Latif
Respect: An Exploration
Perseus Books
Reading, Massachusetts, 1999

Kenneth M. Ludmerer
Time to Heal: American Medical Education from the Turn of the Century to the Era of Managed Care
Oxford University Press Inc.
New York, 1999

Joseph P. McDonald, Thomas Hatch, Edward Kirby, Nancy Ames, Norris M. Haynes, and Edward T. Joiner
School Reform Behind the Scenes
Teachers College Press
Columbia University
New York, 1999

Margaret McKeown, Isabel L. Beck, Rebecca L. Hamilton, and Linda Kucan
“Questioning the Author” Accessibles: Easy-Access Resources for Classroom Challenges
The Wright Group
Bothell, Washington, 1999

Daniel R. Moier
 Scribble Scrabble: Learning to Read and Write: Success with Diverse Teachers, Children, and Families
Teachers College Press
Columbia University
New York, 2000

Claire L. Ramsey
DoF Children in Public Schools: Placement, Context, and Consequences
Galaudet University Press
Washington, District of Columbia, 1997

Claire Smerek and Ellen Goldbring
School Choice in Urban America: Magnet Schools and the Pursuit of Equity
Teachers College Press
Columbia University
New York, 1999

Stephen D. Sugarman and Frank R. Kemeyer
School Choice and Social Controversy: Politics, Policy, and Law
Brookings Institution Press
Washington, District of Columbia, 1999

C. Gordon Wells
Dialogic Inquiry: Towards a Sociocultural Practice and Theory of Education
Cambridge University Press
Cambridge, United Kingdom, 1999

Kenneth K. Wong
Funding Public Schools: Politics and Policies
University Press of Kansas
Lawrence, Kansas, 1999

Ian Westburn, Stefan Hopmann, and Kurt Riquarts
Teaching as a Reflective Practice: The German Didaktik Tradition
Lawrence Erlbaum Associates, Publishers
Mahwah, New Jersey, 2000
On March 31, 2000, the assets of the Spencer Foundation totaled $593.3 million. These assets are invested primarily in equities actively managed by Cedarpoint Capital Management, Inc., New York; and in S&P500 and EAFE indexed equity funds managed by State Street Global Advisors, Boston. The Finance and Audit Committee of the Board of Directors, assisted by the 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. The Northern Trust Company is the custodian bank. A complete list of the Foundation’s assets is available for inspection at the Foundation.

The Foundation made its first distributions in 1971 and through March 31, 2000 has authorized grants and fellowships of $248.2 million, of which $23.4 million remains payable in future fiscal years. During the 2000 fiscal year, the Foundation made payments on grants and fellowships totaling $25.9 million, and the Board of Directors anticipates making grants at a slightly higher level through the 2001 fiscal year. The audited financial statements of the Spencer Foundation begin on page 48.
INDEPENDENT AUDITORS’ REPORT

Board of Directors
The Spencer Foundation
Chicago, Illinois

We have audited the accompanying statements of financial position of The Spencer Foundation (an Illinois not-for-profit corporation) as of March 31, 2000 and 1999, and the related statements of activities and cash flows for the years then ended. These financial statements are the responsibility of the Foundation’s management. Our responsibility is to express an opinion on these financial statements based on our audits.

We conducted our audits in accordance with auditing standards generally accepted in the United States of America. 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 that our audits provide a reasonable basis for our opinion.

In our opinion, such financial statements present fairly, in all material respects, the financial position of The Spencer Foundation as of March 31, 2000 and 1999, and the changes in its net assets and its cash flows for the years then ended in conformity with accounting principles generally accepted in the United States of America.

May 19, 2000

Deloitte & Touche LLP
## Statements of Financial Position

### March 31, 2000 and 1999

(Thousands of Dollars)

<table>
<thead>
<tr>
<th></th>
<th>2000</th>
<th>1999</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Assets:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investments, at quoted market value (cost: 2000-$254,843; 1999-$225,473) (Note 3)</td>
<td>$ 588,235</td>
<td>$ 538,993</td>
</tr>
<tr>
<td>Cash (including funds held by investment custodians: 2000 - $2,770; 1999 - $713)</td>
<td>3,509</td>
<td>1,459</td>
</tr>
<tr>
<td>Other assets:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Accrued interest and dividends</td>
<td>150</td>
<td>206</td>
</tr>
<tr>
<td>Other</td>
<td>1,442</td>
<td>964</td>
</tr>
<tr>
<td><strong>Total Assets</strong></td>
<td>593,336</td>
<td>541,622</td>
</tr>
</tbody>
</table>

|                |            |            |
| **Liabilities:**|            |            |
| Grants payable (Note 5) | 23,360     | 25,219     |
| Payable to brokers | 442        | 220        |
| Accounts payable and accrued expenses | 69         | 46         |
| **Total Liabilities** | 23,871     | 25,485     |

**Unrestricted Net Assets (Note 6)**

<table>
<thead>
<tr>
<th></th>
<th>2000</th>
<th>1999</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$ 569,465</td>
<td>$ 516,137</td>
</tr>
</tbody>
</table>

(See notes to financial statements.)

## Statements of Activities

### Years Ended March 31, 2000 and 1999

(Thousands of Dollars)

<table>
<thead>
<tr>
<th></th>
<th>2000</th>
<th>1999</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Revenue and Gains:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Dividends</td>
<td>$ 6,145</td>
<td>$ 6,223</td>
</tr>
<tr>
<td>Interest</td>
<td>268</td>
<td>486</td>
</tr>
<tr>
<td>Realized gains, net</td>
<td>56,623</td>
<td>18,223</td>
</tr>
<tr>
<td>Increase in unrealized gains, net</td>
<td>19,872</td>
<td>51,133</td>
</tr>
<tr>
<td><strong>Total Revenue and Gains</strong></td>
<td>82,908</td>
<td>76,065</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>2000</th>
<th>1999</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Grants and Other Expenses:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grants authorized (Note 5)</td>
<td>24,470</td>
<td>22,018</td>
</tr>
<tr>
<td>Administrative expenses</td>
<td>3,674</td>
<td>2,802</td>
</tr>
<tr>
<td>Investment services</td>
<td>917</td>
<td>858</td>
</tr>
<tr>
<td>Excise taxes (Note 4)</td>
<td>519</td>
<td>256</td>
</tr>
<tr>
<td><strong>Total Grants and Other Expenses</strong></td>
<td>29,580</td>
<td>25,934</td>
</tr>
</tbody>
</table>

**Increase in Net Assets**

<table>
<thead>
<tr>
<th></th>
<th>2000</th>
<th>1999</th>
</tr>
</thead>
<tbody>
<tr>
<td>UNRESTRICTED NET ASSETS (Beginning of Year)</td>
<td>516,137</td>
<td>466,006</td>
</tr>
<tr>
<td>UNRESTRICTED NET ASSETS - End of Year</td>
<td>$ 569,465</td>
<td>$ 516,137</td>
</tr>
</tbody>
</table>

(See notes to financial statements.)
## Statements of Cash Flows
**Years Ended March 31, 2000 and 1999**
(Thousands of Dollars)

<table>
<thead>
<tr>
<th></th>
<th>2000</th>
<th>1999</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Cash Flows from Operating Activities:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Increase in net assets</td>
<td>$ 53,328</td>
<td>$ 50,131</td>
</tr>
<tr>
<td>Adjustments to reconcile increase in net assets to net cash flows from operating activities:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Gain on sale of investments, net</td>
<td>(56,623)</td>
<td>(18,223)</td>
</tr>
<tr>
<td>Unrealized gain on investments, net</td>
<td>(19,872)</td>
<td>(51,133)</td>
</tr>
<tr>
<td>Depreciation</td>
<td>209</td>
<td>120</td>
</tr>
<tr>
<td>Changes in assets and liabilities:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Accrued interest and dividends</td>
<td>56</td>
<td>(80)</td>
</tr>
<tr>
<td>Other assets</td>
<td>(121)</td>
<td>(17)</td>
</tr>
<tr>
<td>Grants payable</td>
<td>(1,859)</td>
<td>(2,213)</td>
</tr>
<tr>
<td>Payable to brokers</td>
<td>222</td>
<td>17</td>
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<tr>
<td>Accounts payable and accrued expenses</td>
<td>23</td>
<td>(346)</td>
</tr>
<tr>
<td>Net cash flows from operating activities</td>
<td>(24,637)</td>
<td>(21,744)</td>
</tr>
</tbody>
</table>

| **Cash Flows from Investing Activities:** |        |        |
| Purchases of investments         | (73,856) | (26,620) |
| Proceeds from sales of investments | 101,109  | 49,574  |
| Capital expenditures             | (566)   | (759)   |
| Net cash flows from investing activities | 26,687  | 22,195  |

### Increase in Cash

<table>
<thead>
<tr>
<th></th>
<th>2000</th>
<th>1999</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash - Beginning of year</td>
<td>1,459</td>
<td>1,008</td>
</tr>
<tr>
<td>Cash - End of year</td>
<td>$ 3,509</td>
<td>$ 1,459</td>
</tr>
</tbody>
</table>

See notes to financial statements.
NOTES TO FINANCIAL STATEMENTS
YEARS ENDED MARCH 31, 2000 AND 1999
(Thousands of Dollars)

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

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

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

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

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

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

<table>
<thead>
<tr>
<th></th>
<th>2000</th>
<th>Market</th>
<th>1999</th>
<th>Market</th>
</tr>
</thead>
<tbody>
<tr>
<td>Index funds</td>
<td>$145,404</td>
<td>$353,517</td>
<td>$135,481</td>
<td>$313,939</td>
</tr>
<tr>
<td>Common stocks</td>
<td>106,810</td>
<td>238,324</td>
<td>86,838</td>
<td>228,094</td>
</tr>
<tr>
<td>Real estate funds</td>
<td>2,629</td>
<td>2,290</td>
<td>3,154</td>
<td>2,728</td>
</tr>
<tr>
<td>Total</td>
<td>$254,843</td>
<td>$594,131</td>
<td>$225,473</td>
<td>$544,761</td>
</tr>
</tbody>
</table>

Deferred federal excise tax

<table>
<thead>
<tr>
<th></th>
<th>2000</th>
<th>1999</th>
</tr>
</thead>
<tbody>
<tr>
<td>Deferred federal excise tax</td>
<td>(5,896)</td>
<td>(5,768)</td>
</tr>
<tr>
<td>Total</td>
<td>$588,235</td>
<td>$538,993</td>
</tr>
</tbody>
</table>

4. TAXES
Excise Tax - The Foundation qualifies as a private foundation and, as a result, is subject to a federal excise tax of two percent on net investment income, as defined. If the average payout ratio for the past five years plus one percent of net investment income in the current year, as defined, is less than the current year’s charitable distributions, federal excise tax is payable at one percent of net investment income, as defined. The Foundation paid federal excise tax of one percent in each of the years ended March 31, 2000 and 1999.
The quoted market value of investments was reduced by $5,896 and $5,768 at March 31, 2000 and 1999, respectively, representing the federal excise taxes which would become payable if the net unrealized gains were realized. The change in such deferred taxes is applied against the change in unrealized gains in the statements of activities.

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

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

### 5. COMMITMENTS

#### Grant

The Foundation has authorized but unpaid grants outstanding as of March 31, 2000, payable as follows:

<table>
<thead>
<tr>
<th>Fiscal Year Ending March 31</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>2001</td>
<td>$ 13,593</td>
</tr>
<tr>
<td>2002</td>
<td>6,403</td>
</tr>
<tr>
<td>2003</td>
<td>2,115</td>
</tr>
<tr>
<td>2004</td>
<td>784</td>
</tr>
<tr>
<td>2005</td>
<td>465</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$ 23,360</strong></td>
</tr>
</tbody>
</table>

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

#### Rental

During the fiscal year ended March 31, 1999, The Foundation signed a sublease for a new office location. This new operating lease, commencing May 1, 1999, requires minimum annual rental payments plus certain common area maintenance charges. The lease provides for annual rent increases effective May 1 each year. Rent expense was approximately $557 and $244 for the years ended March 31, 2000 and 1999, respectively, of which $422 related to the new sublease.

Future minimum annual rental commitments under the new lease are as follows:

<table>
<thead>
<tr>
<th>Fiscal Year Ending March 31</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>2001</td>
<td>$ 435</td>
</tr>
<tr>
<td>2002</td>
<td>442</td>
</tr>
<tr>
<td>2003</td>
<td>450</td>
</tr>
<tr>
<td>2004</td>
<td>458</td>
</tr>
<tr>
<td>2005</td>
<td>465</td>
</tr>
<tr>
<td><strong>Thereafter</strong></td>
<td>1,772</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$ 4,022</strong></td>
</tr>
</tbody>
</table>
6. UNRESTRICTED NET ASSETS

Unrestricted net assets are composed of the following amounts:

<table>
<thead>
<tr>
<th></th>
<th>2000</th>
<th>1999</th>
</tr>
</thead>
<tbody>
<tr>
<td>Principal</td>
<td>$82,203</td>
<td>$82,203</td>
</tr>
<tr>
<td>Cumulative excess of grants and other expenses over revenue (cumulative grants authorized of $248,230 at March 31, 2000)</td>
<td>(142,660)</td>
<td>(119,493)</td>
</tr>
<tr>
<td>Cumulative net realized gains on sales of investments</td>
<td>296,530</td>
<td>239,907</td>
</tr>
<tr>
<td>Unrealized gains in investment portfolio</td>
<td>333,392</td>
<td>313,520</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$569,465</strong></td>
<td><strong>$516,137</strong></td>
</tr>
</tbody>
</table>

7. PROFESSIONAL DEVELOPMENT PROGRAM

During 1996, the Foundation established a Professional Development Research and Documentation Program (the “Program”) jointly with The John D. and Catherine T. MacArthur Foundation (“MacArthur”). The program provided grants for research in the area of professional development in schools and provided a total of $3 million in grants over a four-year period which ended in 1999. Under the joint venture agreement, the Foundation administered the program and contributed 25 percent of the total awards and 50 percent of administration costs. MacArthur provided the remaining 75 percent of total awards and 50 percent of administration costs. At March 31, 2000, the cash balance of the Foundation included $299 of funds advanced from MacArthur not yet disbursed under the Program; the contra amount was included in grants payable.

8. RETIREMENT PLAN

The Foundation participates in a multi-employer contributory annuity retirement plan in conjunction with the Teachers Insurance and Annuity Association of America (“TIAA-CREF”) for which substantially all employees are eligible. Expenses related to the retirement plan approximated $202 and $178 in 2000 and 1999, respectively. The Foundation funds its pension costs on a current basis in accordance with TIAA-CREF requirements.