

THE SPENCER FOUNDATION

ANNUAL REPORT

April 1, 2000 – March 31, 2001

TABLE OF CONTENTS

2	Board of Directors, Staff, and Advisory Committees
5	Report of the President
13	Report of the Vice President
15	Report on Research Grants: Directions, Highlights, and Grant Application Procedures
20	Report on Fellowships: Directions, Highlights, and Grant Application Procedures
26	Report on Institutional Initiatives: Directions and Highlights

2001 Grants Authorized

28	Research Grants
36	Fellowship Awards
41	Institutional Initiatives
43	Conference and Other Grants
46	Grantee Publications Received
47	Report of the Treasurer
48	Independent Auditor's Report
49	Financial Statements

BOARD OF DIRECTORS AND STAFF

DIRECTORS

Mary Patterson McPherson,
Chair
Andrew W. Mellon
Foundation

Lee S. Shulman, *Vice Chair*
The Carnegie Foundation
for the Advancement of
Teaching

Frank L. Bixby³
Sidley Austin Brown & Wood

Howard E. Gardner¹
Harvard University

Patricia Albjerg Graham²
The Spencer Foundation

Cynthia Greenleaf¹
Chicago Public Schools

Kenji Hakuta
Stanford University

Ellen Condliffe Lagemann⁴
The Spencer Foundation

Magdalene Lampert
University of Michigan

Robert A. LeVine³
Harvard University

Alejandro Portes
Princeton University

John S. Reed
Citigroup

STAFF

Ellen Condliffe Lagemann
President, as of September
2000

Paul D. Goren
Vice President, as of June
2001

Patricia Albjerg Graham
President, through June
2000

John B. Williams III¹⁰
Vice President,
Senior Program Officer
through April 2001

Ines M. Milne
Treasurer and Secretary

Margaret Jay Braatz
Program Officer

Annie Brinkman
Program Assistant

Maria H. Carlos
Controller

Elizabeth Carrick
Operations Manager,
Human Resources Associate

Josephine Craven
Systems Administrator

Susan L. Dauber
Program Officer

Doris E. Fischer
Conference Coordinator

Kathryn A. Gray
Program Assistant

Julie K. Jessen⁵
Program Assistant

Judith Klippenstein
Executive Assistant to
the President,
Assistant Secretary of the
Foundation

Cynthia M. Kosinski⁵
Program Assistant

Alla Litovchenko
Database Administrator

Eleni Makris
Associate Program Officer

R. David Matthews
Staff Assistant

Carrie A. McGill
Program Assistant

Mary Ellen Natonski
Administrative Assistant

Catherine A. Lacey
Senior Program Officer

Charlene O'Connor⁶
Assistant to the Controller

Erica Okezie-Phillips⁷
Executive Assistant to the
Vice President

Mark E. Rigdon³
Program Officer

John L. Rury
Senior Program Officer

Jennifer P. Savarirayan
Program Assistant

Rick Steele⁸
Director of Information
Technology Services

Ewa Sumsky
Staff Assistant

Ramona S. Thomas
Associate Program Officer

Mary C. Visconti⁹
Program Assistant

Kimberly A. Wright
Program Assistant

Lauren Jones Young
Senior Program Officer

¹ as of January 2001

⁴ as of September 2000

⁷ through April 2001

¹⁰ Senior Advisor as of April 2001

² through June 2000

⁵ through September 2000

⁸ as of February 2001

³ through January 2001

⁶ as of July 2000

⁹ as of April 2000

ADVISORY COMMITTEES

MAJOR RESEARCH GRANTS PROGRAM ADVISORY COMMITTEE

John Bransford
Vanderbilt University

Anne Haas Dyson
*University of California,
Berkeley*

Michele Foster
*University of North Carolina
at Chapel Hill*

David Plank
Michigan State University

William Tate
*University of Wisconsin-
Madison*

Sarah Turner
University of Virginia

Mary Kay Vaughan
*University of Illinois at
Chicago*

Niobe Way
New York University

Min Zhou
*University of California,
Los Angeles*

SMALL RESEARCH GRANTS ADVISORY COMMITTEE

Lynn D. Gordon
University of Rochester

Nancy Mack
*Grand Valley State
University*

David Mitch
*University of Maryland,
Baltimore County*

Will Jordan
Johns Hopkins University

Lesley Rex
University of Michigan

James Spillane
Northwestern University

DISSERTATION FELLOWSHIPS SELECTION ADVISORY COMMITTEE

René Arcilla
New York University

Jacquelyn Hall
*University of North Carolina
at Chapel Hill*

Maureen Hallinan
University of Notre Dame

Guadalupe Valdes
Stanford University

Susan Lytle
University of Pennsylvania

Marcyliena Morgan
*University of California,
Los Angeles*

James Wertsch
Washington University

Mark Wilson
*University of California,
Berkeley*

PRACTITIONER RESEARCH COMMUNICATION AND MENTORING GRANTS ADVISORY COMMITTEE

Cindy Ballenger
TERC/Brookline Schools

Judy Buchanan
*Philadelphia Education
Trust*

Courtney Cazden
Harvard University

Sue Hansen-Smith
National-Louis University

Frank Koerner
Boston Public Schools

Renee Moore
Broad Street High School

Jacqueline Jones Royster
Ohio State University

RESEARCH CONFERENCE GRANTS PROGRAM ADVISORY COMMITTEE

Marvin Lazerson
University of Pennsylvania

Valerie Ooka Pang
San Diego State University

Stephen W. Raudenbush
University of Michigan

LYLE M. SPENCER

1911-1968

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

■ Lyle M. Spencer established the foundation that bears his name in 1962, with the mandate of investigating ways in which education might be improved around the world. The Foundation received its major endowment in 1968 following Spencer's death. Since that time, the Foundation has authorized grants totaling approximately \$295.3 million. Its assets as of March 31, 2001, were \$432.4 million.

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

REPORT OF THE PRESIDENT

Ellen Condliffe Lagemann

In *Science, An Endless Frontier* (1945), Vannevar Bush, the distinguished scientist and engineer who was then serving as Director of the Office of Scientific Research and Development, laid the basis for post-World War II U.S. science policy. Central to Bush's view of science was a sharp distinction between "basic" and "applied" research. According to Bush, "basic research is performed without thought of practical ends. It results in general knowledge and an understanding of nature and its laws." It creates the "scientific capital" and "the fund" for subsequent applied research.¹ Profoundly influential not only in the design of federal scientific agencies, but also in academic thinking, Bush's conception of science had an important, if largely indirect and unnoticed, effect on research in education.

In many reports concerned with the state of education research dating from the 1950s and even the 1960s, there were calls for strong basic research to be followed in a sequential fashion with efforts at application. Such reports sometimes referred to Bush's views, but, even when they did not, they reflected the differences and the sequencing he had described. There were exceptions, of course, one notable example having been the distinction drawn between "decision-oriented" and "conclusion-oriented" inquiry that Lee J. Cronbach and Patrick Suppes made in *Research for Tomorrow's Schools: Disciplined Inquiry in Education*.² Decision-oriented inquiry, they maintained, was intended to make decision making more intelligent. Conclusion-oriented inquiry, by contrast, was intended to follow the logic of an investigation, moving from questions to findings and then on to new and refined questions, according to what seemed to be the most interesting leads emanating from the research. Breaking out of the linear model posited by Bush, Cronbach and Suppes instead drew distinctions according to the purposes of different studies.

Today in education, the typology developed by Cronbach and Suppes links better to current views of knowledge creation than Bush's does. Increasingly, people who worry about models for research in education talk about work that is "practice-based" or "use-driven." Their ideas have often been informed by Donald Stokes's incisive study of engineering education, *Pasteur's Quadrant: Basic Science and Technological Innovation*.³ There, Stokes sought a middle ground between pure and applied research, maintaining that there are vital synergies between what he described as "considerations of use" and "the quest for fundamental understanding." Implicitly harkening back to John Dewey's insistence on a constant interaction between theory and practice in both science and education – indeed, between reflection and action in all experience – Stokes's perspective offers new possibilities for education research. His elaboration of possible new relationships between use and understanding have provided an important backdrop to the thinking and planning we have done over the last year at the Spencer Foundation.

Another perspective that has influenced our thinking comes from the work of the learning theorist Etienne Wenger. At the time the Spencer Foundation was established, scholars were expected to work in silent solitude in settings that were more like monasteries than busy beehives. Since then, studies of organizations and of creativity have focused attention on the social sources of invention. Just as this has encouraged businesses to organize teams of workers and to create workplaces that foster interaction across departmental or functional lines, so has this literature spurred academics to organize collaborations around problems and across disciplines. Described by Wenger as "communities of practice," such collaborations have a profound effect on the ways in

¹ Vannevar Bush, *Science, The Endless Frontier* (Washington, D.C.: U.S. Government Printing Office, 1945), p. 13.

² Lee J. Cronbach and Patrick Suppes, eds., *Research for Tomorrow's Schools: Disciplined Inquiry for Education* (New York: Macmillan, 1969), pp. 14-27.

³ Donald E. Stokes, *Pasteur's Quadrant: Basic Science and Technological Innovation* (Washington, D.C.: Brookings Institution Press, 1997), chap. 3.

which people learn, interact with others, and define themselves.⁴ Wenger's conception of "communities of practice" has informed the way we have thought about our own work at Spencer as well as the way we have appraised some of the work we have supported through the Foundation's various fellowship programs.

A LOOK BACKWARD

The thinking we have been doing has been intended to help us take stock of what the Foundation has accomplished to date and what it might accomplish in the future. Founded in 1962, with grant making formally beginning in 1971, the Spencer Foundation is now in its thirtieth year of operations. From the first, the Foundation has been dedicated to the belief that research is necessary to the improvement of education. Not surprisingly, therefore, matters concerning relationships between theory and practice and the nurture of creativity have been constant themes in the Foundation's history.

"Critical inquiry into the processes of learning and into educational practices is badly needed in our time," H. Thomas James, the Foundation's first president wrote in the first Annual Report in 1971. "The Foundation will seek out and fund those efforts that seem to offer the greatest promise of increasing our understanding of the learning process and of developing pedagogical theory that can guide the efforts of educators at all levels."⁵ Clearly interested in promoting understanding, James was eager to help develop theories that would be sufficiently powerful so that they could guide the work of practitioners. With that in mind, the Foundation inaugurated its policy of inviting scholars to come to it with projects that they themselves had designed. To spread word about the Foundation, James traveled widely, visiting many of the nation's research universities and meeting with scholars in both schools of education and faculties of arts and sciences. The result was an increasing flow of proposals on matters ranging from early childhood education to the organization and administration of schools and the biological bases for learning. Although, as James explained it, the Foundation had begun with "certain limitations" concerning the topics it would and would not fund, these fairly quickly fell by the way as the Foundation sought to be responsive to scholars in the field. Valuing excellent science and the freedom of excellent scholars to pursue their own interests, the Foundation pursued a strategy that was predicated on the belief that the inherent value of new knowledge would lead to its application and use.

Lawrence Cremin succeeded Tom James as president of Spencer in 1985. He came to the Foundation well known for a broad view of education that emphasized social context. As he explained in the third volume of his trilogy, American Education, Cremin believed that education was "the deliberate, systematic, and sustained effort to transmit, evoke, or acquire knowledge, values, attitudes, skills, and sensibilities as well as any learning from that effort, direct or indirect, intended or unintended."⁶ More than explicit attention to matters pertaining to linking theory and practice, this broad view of education shaped the character of the Foundation during the years Cremin was at the helm.

Remaining open to proposals from scholars in the field, Spencer began supporting more work that could "illuminate the organization and processes of education as it proceeds in families, workplaces, community agencies, and cultural institutions."⁷ Fewer grants were awarded to psychologists and more to anthropologists, economists, historians, political scientists, and sociologists. Cremin's hope was that more broadly defined studies of education would help shape more comprehensive education policies, linking the teaching and learning that goes on in schools, colleges, and universities, to that which goes on in other places. Once again, the priority was excellent work, freely designed by excellent scholars. In line with psychologist Kurt Lewin's famous dictum that there is nothing so practical as a good theory, the assumption was that first-class research would find its uses.

⁴ Etienne Wenger, Communities of Practice: Learning, Meaning, and Identity (Cambridge: Cambridge University Press, 1998).

⁵ Spencer Foundation Annual Report (1971), p.11.

⁶ Lawrence A. Cremin, American Education: The Metropolitan Experience, 1876-1980 (New York: Harper & Row, 1988), p. x.

⁷ Spencer Foundation Annual Report (1986), p. 6.

Larry Cremin died in September 1990 and Patricia Albjerg Graham was elected President of the Spencer Foundation in January 1991, with actual responsibilities beginning in September 1991. She came to the Foundation after distinguished service as Director of the Radcliffe Institute and the National Institute of Education and as Dean of the Harvard Graduate School of Education. More than her predecessors, Graham was centrally interested in linking research and practice. "Clearly it is not the obligation of the individual researcher both to increase knowledge by seeking and finding universal truths, and to improve educational practice simultaneously," she stated in an [Annual Report](#) essay. "It is, however, the duty of the field itself to attain these goals."⁸

With that in mind, Spencer, in partnership with the John D. and Catherine T. MacArthur Foundation, created a Professional Development Research and Documentation Program to increase knowledge about good professional development. On its own, Spencer also established the Practitioner Research Communication and Mentoring Program. This was intended "1) to increase research knowledge and insight about education; 2) to enhance the research expertise of educational practitioners; and 3) to facilitate communication and encourage discussion and dissemination of practitioner research and methods among practitioner-researchers, practitioners, and the larger research community."⁹ While continuing to support important investigations generated by scholars in the field, more focused programs like these began to involve the Foundation more directly in what we are now calling translating research into action. As we move ahead, we will focus even more intently on the various problems associated with diffusing knowledge, fostering its use, and encouraging its refinement in use.

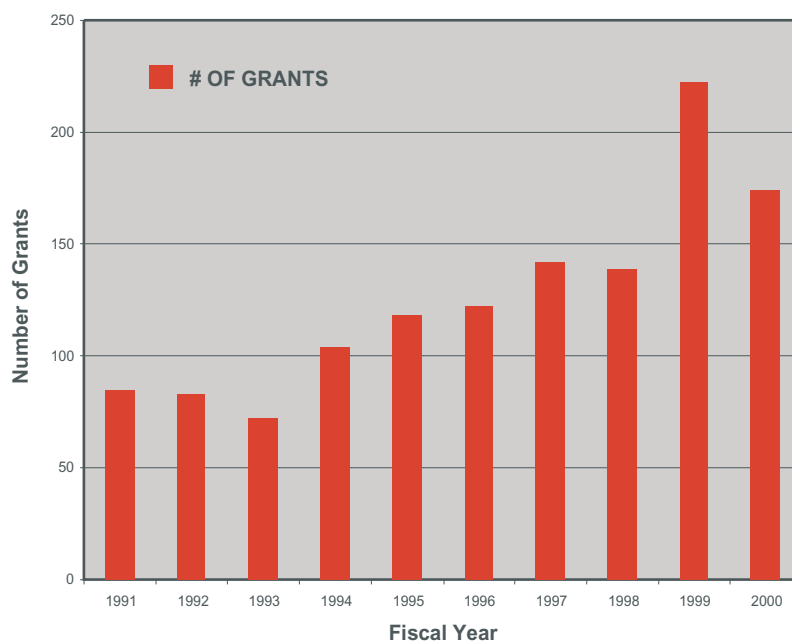
Before turning to that, however, there are several other elements of Spencer's history that warrant comment. First, in addition to viewing research as instrumental to the improvement of education, Spencer has always viewed the nurture of scholars as essential to the production of good scholarship. Among the very first grants awarded during Tom James's presidency were "seed grants" to institutions, which were, in turn, expected to award the funds to young scholars in the behavioral sciences. Fellowship funds to support scholars at the Center for Advanced Study in the Behavioral Sciences were also provided. Subsequently, Larry Cremin instituted a postdoctoral fellowship program operated by the National Academy of Education as well as a doctoral dissertation fellowship program that has been managed both externally and internally at different times. Thereafter, Pat Graham began a pre-dissertation doctoral fellowship program, operated by the American Educational Research Association, and Advanced Studies Grants, which were intended to foster communities of scholars who had recently completed their Ph.D.s. Always associated with needs distinctive to different career stages, Spencer has followed what might be called a cradle-to-grave approach to the financing of research time and professional development for scholars who study education. In addition, through the Research Training Grants Program, which provides block grants to a select group of schools of education, student financial support was further augmented.

The increasing range and variety of fellowships offered by Spencer reflected one last aspect of the Foundation's history that has been vital to its operations. Thirty years ago, the endowment of the Spencer Foundation was \$79 million. Growing with some ups and downs over the years, the endowment expanded very significantly with the markets during Pat Graham's time as president. Spencer's assets were \$217 million in 1991, and \$593 million in 2000, when Graham retired from the Foundation. This growth in funds was reflected not only in increased fellowship programs, but also in a larger staff and a significantly expanded portfolio of programs.

⁸ Spencer Foundation [Annual Report](#) (1993), p. 7.

⁹ Spencer Foundation Board of Directors Docket, June 28, 1999, p. 2.

Spencer financed groups wanting to convene conferences on important questions in education research. It made grants to encourage the development of research training in Russia. It also added the University of Cape Town to the group of institutions awarded Research Training Grants, a group that increased from six institutions in 1994 to twelve in 2000. Finally, the Foundation launched a special "Southern Initiative" through which it identified and helped develop centers of education research in the Southern United States. While the Foundation was growing in these ways, the number of grants made for investigator-initiated projects also rose from 85 in 1991 to a peak of 220 in 1999.



A LOOK FORWARD

Having been elected president of Spencer in March of 2000, I arrived at the Foundation in September. I came to the post admiring of the Foundation’s superb record of achievement and leadership, but curious to see if we could do even more to generate and diffuse knowledge that could improve education. Encouraged by the Board, the staff and I therefore set about assessing all of the Foundation’s programs and procedures. To do this, we met individually and in groups with many grantees and colleagues in the foundation world. We pondered various outside evaluations, including several studies of fellowship programs conducted by Abt Associates. Via mail surveys, we solicited advice from hundreds of former fellows and grantees. We studied the ways in which other foundations operate. And, most importantly, we read widely, thought hard, and talked constantly about the ways in which knowledge develops and accumulates in education. Armed with the fruits of our investigations, the Board and the staff held a three-day retreat in Pocantico, New York, in June 2001, and reached a number of important decisions about future directions for the Foundation.

First, we are very pleased with what Spencer has accomplished through its grant making over the last thirty years. We plan to celebrate this in a small January 2002 conference on "Traditions of Scholarship in Education" for which we have commissioned papers that we will circulate widely. We will follow this with a meeting about “Needs and Opportunities for Education Research, 2002-2012” in June 2002.

Throughout its history, the Foundation has identified outstanding scholars and projects and supported them patiently and well. It is striking, for example, that two recent reports of the National Academy of Science’s National Research Council, How People Learn: Brain, Mind, Experience, and School (1999) and Eager to Learn: Educating our Preschoolers (2000), include citations to many scholars supported by Spencer. Indeed, in the case of How People Learn, more than half of the works cited in the bibliography were generated by scholars who have won Spencer awards.

Building on this impressive record, we have decided to continue our long-standing practice of inviting investigator-initiated proposals from scholars studying education, broadly conceived. As in the past, we will put the proposals received by the Foundation through a very rigorous review process, which will be described in further detail in the Report of the Vice President.

In addition, while continuing to finance research that spontaneously comes to us, we now plan to take a more proactive stance toward grant making, by identifying a few problems about which we will encourage research over a sustained period of time. We are convinced that research can be better linked to the improvement of education if problems are identified and goal-oriented programs of research are purposively built around them. Obviously, we are not alone in this belief. It is reflected in the National Research Council's new Strategic Education Research Program.¹⁰ It also provided the rationale for the panels recently convened by the Rand Corporation to survey what we know and need to know about the teaching of reading and mathematics.¹¹ As a branch of philosophy, education is ancient, but as an empirical science, it is still very young. In the opinion of those of us at Spencer, it is just now reaching the stage where there is sufficient high-quality work to warrant efforts to map available knowledge and then to seek to fill knowledge deficits. It is this belief that has guided our decision to develop some more focused and planned programs of grant making. We will not rush to identify the problems on which we will concentrate. Rather, we will pick our targets carefully, in the process conferring widely with many people, and then announce them via our web site and other means.

One target is clear to us already. We are convinced that one of the toughest and most important problems in education pertains to translating research into action. By this we mean diffusing extant knowledge not only via publications of various kinds, but also through the creation of tools -- everything from written teaching aids to software, videos, and the like. We suspect that design experiments, which discard the pristine experimental conditions of the laboratory, in favor of the complex, shifting realities of real classrooms, will prove to be important in linking research and practice. We tend to believe that better and more regular coverage of education in newspapers and magazines and over television and radio, though rather "low tech" in our "high tech" world, will also be useful.

In thinking about ways to translate knowledge into action, we have become convinced that teacher education and the education of education researchers cannot be ignored. If our goal is to help make research and practice more integral to one another, professional preparation is vital. Teacher education must nurture habits of mind that lead teachers to be constantly concerned with questioning and improving their practice not only via contemplation and self-scrutiny, but also through engagement with research. The education of education researchers must similarly establish the skills and orientations needed to observe children and teachers closely, to map educational transactions, and to build programs of research that are attuned to the settings in which education takes place. Ultimately, the diffusion of knowledge in education will depend on the quality of interaction that can develop among students of education, whether those students are teachers, administrators, or researchers.

As we will do with all the targets we identify over the next few years, we intend to explore the problem of translating research into action in gatherings of colleagues who can inform our thinking and sharpen our sense of what needs to be learned. Working with a variety of external advisors, we will then design requests for proposals and otherwise invite proposals to undertake projects that can help build the knowledge that is needed to understand how research can be more systematically and continuously tied to educational improvements. We do not expect to solve the age-old problem of

¹⁰ For more information about this see www4.nationalacademies.org

¹¹ For more information about this go to www.rand.org/multi/achievementforall/

INTELLECTUAL PROPERTY RIGHTS POLICY

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

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

articulating theory and practice, but we do intend to work at it in a determined way.

As we begin to identify targeted areas for our grant making in education research, we will scrutinize our fellowship programs to investigate whether some of these might be linked to the problems we identify for focused grant making. Our logic for doing this springs largely from our belief that all scholars, and especially young scholars, benefit from being members of research communities. If some of the fellows we support can be partnered with the scholars supported with project funds, we believe that exciting synergies may emerge, which can perhaps be sustained over time.

Over the years, Spencer has collected a lot of data about education research. Project reports are one source of information; institutional reports about universities that receive Spencer funds are another. Building on what can be learned from these materials, we intend to begin doing some research

internally. We will use this to inform our own activities. More importantly, we will publish and otherwise disseminate what we learn in order to help strengthen the field.

As some recent grantees know, Spencer now has an intellectual property rights policy that is designed to protect grantees' rights to their work as well as to insure that we may help disseminate the studies we support. We will be upgrading our web site and posting abstracts and other brief materials generated by our grantees with links to their own web sites or those of their universities. We hope this will make our web site a useful research tool for many people.

In order to streamline our grant review process and facilitate the development of goal-oriented programs of research, we have modified the internal organization of the Foundation. Previously, Spencer was organized around four divisions: Major Grants, Fellowships, Training, and Finance, with quite a number of discreet programs in each. We have now collapsed those divisions in order to work more collaboratively on grant proposals and planning. We have also discontinued a number of the Foundation's smaller programs, including the Practitioner Research Communication and Mentoring Program and the Advanced Studies Fellowship Program. We will no longer provide funds for conferences, although we intend to convene an increasing number of meetings ourselves. Last but not least, some programs are now dormant, which means that we are not currently making grants in them, but may do so at some point in the future. Among these are the Senior Scholars and Mentor Programs, both of which were and will remain invitational. As is the case at many foundations, Spencer's endowment has been hurt by declines in the stock market, and we are concentrating our resources on our core activities.

A special note needs to be added about the Practitioner Research Communication and Mentoring Program. Our decision to discontinue this program was based on our belief that practitioner research should not be treated differently from research carried out by others. It does not in any way reflect a lack of interest in research planned and carried out by teachers, administrators, or others on the front lines directly involved in delivering education. In fact, to help insure that practitioners with well-developed plans for research continue to apply for grants, we will establish a Practitioner Research Advisory Committee to work with us.

Spencer has had a longstanding interest in promoting diversity within the education research community. For that reason, we are troubled by the fact that the scholars we support through fellowships at the early stages of their careers tend to be much more diverse than those who win support through our major grants program as more senior scholars. To help us understand some of the barriers mid-career and senior minority scholars face and what we might be able to do to ameliorate those, we convened a distinguished group of minority researchers for a one-day meeting in Chicago last February. We expect to announce the formation of a Minority Scholars Advisory Committee in the near future, whose job it will be to bring Spencer to the notice of researchers whose work might be assisted by the Foundation and to bring scholars with whom we have not yet worked to our attention. In addition to encouraging ethnic and racial diversity, we hope this effort will bring us more proposals from scholars at institutions that have not been frequent recipients of Spencer funds.

The thinking, assessing, and planning we have done at Spencer over the last year have been exciting. We are extremely grateful to the countless external colleagues who have given us advice. Foundations like Spencer cannot operate well if the scholars we seek to assist are not willing to review proposals, serve on advisory committees, and help select fellowship recipients. We know that engaging in these activities takes significant time from already over-loaded schedules and we thank all of you who have said "yes" to our calls for help. We trust, too, that you will be critical friends as we move forward, suggesting problems around which we might try to develop research and commenting on revised review procedures, the web site we will be developing, and the publications we plan to generate.

We believe this is a time of increased interest in education research. How could it be otherwise if we are serious about improving our schools and insuring that all children learn to high levels? No one would have thought we could have gotten to the moon or have mapped the human genome without research and

engineering, and no one should think we can improve education without similar efforts. We hope that in the years ahead there will be fewer unplanned experiments in education. As things now stand, untested reform programs and methods of instruction are abundant in schools across the country. We hope that instead there will be more planned and systematic experiments that will generate solid knowledge and research-based practice. We hope, too, that the years ahead will be a time when what we do know about learning and teaching, assessment, and administration in many different settings can be put to better use. We trust that we may continue to rely on the insights, investigations, and inventions of those of you who share our commitment to improving education through research to help bring that about.



Ellen Condliffe Lagemann
President

REPORT OF THE VICE PRESIDENT

Paul D. Goren

Over the past year, The Spencer Foundation staff, under the leadership of Ellen Condliffe Lagemann, have spent considerable time examining and assessing our grant-making programs and procedures. This work depended on the involvement of and feedback from many grantees and colleagues. We see the last year as an opportunity to celebrate the important past contributions of the Foundation and to move forward on "investigating ways in which education can be improved," as Lyle Spencer wished.

As we spent time working on future directions for the Foundation, we also continued our grant-making efforts. In the fiscal year ending March 31, 2001, the Foundation approved new grants and fellowships totaling \$47.5 million. Grant payments totaled \$26.9 million-- 52 percent for individual research projects, 16 percent for fellowship programs, and 12 percent to institutions to support research training. An additional 20 percent was devoted to other Foundation initiatives. Total grant payments increased slightly over the past three years from \$24 million in FY 1999, to \$25.9 million in FY 2000, to \$26.9 million in FY 2001.

Described in detail in the President's Report are several interesting lessons learned during the year we spent examining what more the Foundation could do to generate knowledge that improves education. These lessons, summarized below, are both substantive and procedural:

- The Spencer Foundation's strength and distinctive niche is in its support, over the past three decades, of field-initiated research related to education.
- The Foundation is well positioned to focus its support on specific programs of research that address extant problems in education.
- The Spencer Foundation can play an important role in helping translate solid research into action, addressing frequent rhetoric that calls for better links between research and practice.
- The Foundation is a depository of excellent analytical work, much of which should be disseminated broadly.
- The procedures and processes involved in securing a grant from the Spencer Foundation can and should be improved.

As Ellen notes, the Foundation is moving forward on several of these issues. Over the next year, Foundation staff will develop targeted research grant-making programs, examine how our fellowship and training grants can be linked to our more targeted grant making, and explore how Foundation-supported work can be disseminated broadly.

Responding to concerns from the field, we have streamlined our internal review procedures for research grants. Our goals are to maintain the rigor by which proposals are reviewed, internally and externally, and to speed up the process. After an initial screening by Spencer staff, the process will continue to rely extensively upon peer review by external scholars.

All Major Research Grants (requiring more than \$35,000) will be reviewed according to the following procedures:

- Preliminary proposals will be welcome year-round.
- An initial review of the proposal will occur within three weeks of its arrival at the Foundation.
- A small number of full proposals will be invited from those initially reviewed.
- Once a full proposal is submitted, external review will be conducted, and the Foundation's recommendation for approval or declination will be made in no more than six months.
- Major Research Grants will be brought to the Board of Directors four times a year-in October, January, April, and June.

Small Research Grant proposals (requiring no more that \$35,000 to complete) will be reviewed and acted upon within three months of their submission to the Foundation. Specific guidelines and procedures for applying for Major Research Grants can be found on pages 17 and 18 of this report. Specific guidelines and procedures for applying for Small Research Grants can be found on pages 18 and 19 of this report.

Fellowship program procedures will continue as in the past. The Dissertation Fellowship for research related to education will continue to have an October deadline, with decisions made in six months. Specific guidelines and procedures for applying for the Fellowship programs follow on page 24.

Several Spencer supported programs are by invitation only. The Research Training Grant Program will continue to support school of education doctoral training. The Discipline-Based Scholarship in Education Program is currently operating at several sites by invitation of the Foundation. Brief descriptions of these two programs can be found on pages 26 and 27.

As Spencer moves forward, we will continue to focus on efforts that help to strengthen education through research. Our commitment is to improve our proposal review and internal processes so that this can occur. Full proposals and applications to the Foundation will be subject to a six-month review. At key points along the way, we will communicate directly about the progress of a proposal.

Many colleagues have given considerable time assisting Spencer staff in reviewing proposals and evaluating Spencer's efforts. Given your schedules and commitments, we thank you sincerely for your time. We welcome feedback on all of our efforts, especially as we begin to implement our new review processes and focused grant making.



Paul D. Goren
Vice President

REPORT ON RESEARCH GRANTS

Directions, Highlights, and Grant Application Procedures

The support of basic and applied research about education and related issues has long been central to the mission of the Spencer Foundation. Over the years, this purpose has found expression in a wide variety of different programs and types of grants. As Ellen Condliffe Lagemann has suggested in her President's Report, the Foundation's Board of Directors and staff recently have been engaged in an intensive process of reviewing existing programs and procedures. As a consequence, the mixture of research grant programs supported by Spencer will shift somewhat in the coming year, and certain policies and procedures will change also. It should be made clear, however, that the Foundation's long-standing commitment to funding high quality and useful education research will remain steadfast.

The longest-running and largest research grant program at Spencer is Major Research Grants, which has been in continuous operation since the Foundation's beginning. In recent years, the Major Research Grants Program has made awards totaling between eight and ten million dollars annually, providing levels of support that typically range from less than \$100,000 to just over \$400,000 per grant. Each year, we receive nearly 400 preliminary inquiries in this program, and we invite a much smaller number of full proposals. These invited proposals are carefully reviewed both internally and externally, but ultimately we are able to provide funding to only a fraction of them. Over the past year we have been considering measures to make the review process more efficient. As Paul Goren has noted in his Vice President's Report, we hope to be able to provide notice of funding decisions within six months of the receipt of full proposals, although we may be constrained in some instances by the timing of Board meetings.

The Small Research Grants Program provides support to projects investigating education and related issues with budgets of \$35,000 or less and lasting no longer than a single year. In many cases these projects represent pilot studies or small scale research ventures leading to proposals for larger studies. It is not necessary to send a preliminary inquiry before submitting a proposal to the Small Research Grants Program. In a typical year we receive several hundred applications for these grants, but are able to provide funding for less than a quarter of them. Because of the relatively small scale of these projects and the moderate length of the proposals, we attempt to provide funding decisions within a few months of receiving an application.

There have been a number of other research grant programs initiated by the Spencer Foundation in recent years, including Research on School Reform, Practitioner Research Communication and Mentoring (PRCM), and the Southern Initiative. For the most part, these have been focused on particular educational issues or special groups of educational researchers. One of them (PRCM) will draw to a close in the coming fiscal year; the others will be folded into the Major Research Grants Program. We have learned much through such endeavors, but in the immediate future, the Foundation's two principal research programs will constitute the agency through which it provides support for all types of investigations about education.

Historically, most research grant programs at the Spencer Foundation have been field initiated. This certainly has been the case with both Major Research Grants and Small Research Grants in recent years. There have been exceptions to this general rule in the past, however, and as Ellen indicated in her report, the Foundation is working to identify additional funding targets for the future. When this comes to pass, it is likely that the Foundation's portfolio will represent a mixture of targeted and field-initiated grants each year, sustaining Spencer's historic commitment to supporting the very best education research in a wide variety of fields.

LEARNING FROM THE INTERNET

Many people in and out of education believe that computers are critical to the future of schooling. Little is known, however, about the impact of this technology. Spencer has funded a study by Janet Schofield at the University of Pittsburgh that investigates the educational promise of Internet use in schools and some of the problems that may compromise its potential. The research focused on teacher-led initiatives to bring the Internet into schools, factors that influence the amount and nature of Internet activities, and the effects of the Internet on student learning and educational equity. Data included observations in classrooms and project implementation meetings in over a dozen schools; interviews with administrators and teachers; archival materials; and surveys of teachers, students, and administrators. The study found that students using the Internet were more enthusiastic, produced higher quality work, and utilized more career related information. Additionally, significant differences in the use of these resources were noted, with affluent students utilizing computer-based learning strategies more often, even in the same schools. A "digital divide," it appears, marks the education system, raising potentially critical equity issues for the future.

Proposals should focus on highly significant questions concerning education, human development, and related issues anywhere in the world. The Spencer Foundation does not place any methodological or ideological limitations on the research that it supports. The Foundation is especially interested in new and exciting ideas in research. Given this, we stand ready to consider any and all types of scholarly inquiry and we rely heavily upon reviews by specialists in relevant fields to inform funding decisions. In recent years, both of the Foundation's principal research grants programs have provided support to a diverse mixture of quantitative and qualitative studies, addressing a host of topics connected to education.

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



John Rury
Senior Program Officer

RACE, SUBURBAN SCHOOLS, AND ACHIEVEMENT

Understanding and overcoming barriers to school performance for minority students is one of the great challenges facing American education today. Spencer has supported a study entitled "Minority Suburbanization and the Achievement of Minority Students" that focuses on "the large and continuing achievement gap between African-American and white children due in significant degree to restriction on black residential choice." As defined by John Kain, an economist at the University of Texas at Dallas, the project estimated school inputs such as expenditures and teacher quality indicators as predictors of student achievement, controlling for student background factors and socioeconomic context. Data provided by the Texas Education Agency on nearly one million students and 4,500 schools were utilized. By and large, the results indicate that differences in inner city and suburban schools have had a large effect on individual student achievement, especially for African Americans. Where children go to school, and the conditions they experience there, are factors that do indeed appear to influence student learning.

APPLICATION GUIDELINES FOR RESEARCH GRANTS

Major Research Grants

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

Funding Priorities and Eligibility: At the time of this report's publication, the Foundation has not established funding priorities for subjects of research; projects originate from research ideas initiated in the field by scholars and other researchers. Applicants should check the Foundation's web page, however, for the latest information regarding funding priorities. Ordinarily, principal investigators applying for a Major Research Grant must be affiliated with a 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 or appropriate experience in the teaching profession.

Restrictions: Grantees may not receive two research grants simultaneously from the Spencer Foundation. Please note that the Foundation does not pay government-approved overhead rates on research grants; overhead requests on Major Research Grants of more than \$75,000 may not exceed 15 percent of the requested direct costs. The Foundation does not pay indirect costs on research grants of \$75,000 or less.

Application Procedure: Since the Foundation does not accept fully developed proposals unless it has requested them, applicants seeking research support from the Major Research Grants Program are asked to submit a brief preliminary proposal. Preliminary proposals should be no more than 1,500 words in length. Within those limits, we request the following information:

- a brief description of the project, its significance, and the new knowledge expected to result from it;
- a concise summary of the research methods, modes of analysis, and/or instruments that the project will employ;

- a brief review of relevant research literature;
- a clear identification of the principal investigator(s) and a clear definition of the roles he/she and any supporting researcher(s) will play; and
- an estimate of the time frame for the project and the approximate cost, including the approximate amount to be sought from the Spencer Foundation.

Attachments must include:

- the curriculum vita(e) of the principal investigator(s); and
- phone number(s), fax number(s) and email address(es) where investigator(s) may be reached.

WHAT MOTIVATES TEENAGERS?

Every teacher knows that motivational factors have a major bearing on student success, and this is partly determined by what students believe about the learning process. A study titled "Psychological Causes of Student Achievement" examined the achievement trajectories of junior high school students who view intelligence as either an entity (fixed or unchangeable) or incremental (malleable). For Columbia University psychologist Carol Dweck, the focus is on psychological factors "that link achievement related beliefs, goals, and strategies to real academic outcomes." Her study involved 140 seventh graders, and it followed students from another sample as they matriculated into the eleventh grade, analyzing test scores, grades, questionnaires, and diaries. Results confirm that those students who have an incremental view of intelligence earn better grades, report more positive emotions about their schoolwork, and are more enthusiastic about their work than those who believe intelligence fixed. Teachers also rated these students as more diligent, focused, and persistent, as well as harder workers on their assignments. Such findings suggest that student beliefs about the education process are indeed a factor in how well they learn.

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

Small Research Grants

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

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

Restrictions: Grantees are not permitted to receive two research grants simultaneously from the Spencer Foundation. Grants made under this program range from \$1,000 to an upper limit of \$35,000. Projects may not last longer than one year. Please note that the Foundation does not pay indirect costs in the Small Research Grants Program. Researchers seeking support for their doctoral dissertations should apply to the Spencer Dissertation Fellowship Program.

Application Procedure: Unlike the Major Research Grants Program, a preliminary proposal is not required. Proposals for support from the Small Research Grants Program should be in the form of a statement with attachments. The statement should not exceed 1,800 words in length (approximately five to seven double-spaced pages) and should provide clear information on the following:

- a concrete description of the proposed research project and its significance;
- the new knowledge about education expected to result from the project;
- the potential contribution of that new knowledge to the improvement of education;
- a brief summary of the relevant literature and the proposed research's relationship to it;
- the methods and modes of analysis to be employed in the project; and
- the role of the researcher(s).

Attachments should include:

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

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

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

REPORT ON FELLOWSHIPS

Directions, Highlights, and Grant Application Procedures

From its inception, the Foundation recognized the importance of providing support for promising researchers interested in educational issues as a means of improving both the quality and quantity of education research. The Foundation's goal within its fellowship programs has been to support scholars at various critical stages in their professional careers in order to build capacity in the education research community. Following the past year of reflection and internal program evaluation, that long-standing goal remains unchanged. The Foundation remains committed to the support and development of scholars through a variety of fellowship programs.

Across all fellowship programs, the interdisciplinary character of the cohorts of fellows supported by Spencer reflects the Foundation's aim to develop the highest level of research scholarship in education by building a strong community of scholars, both from traditional social science disciplines and in departments and schools of education. The Foundation has long believed that the study of education can best be served by drawing on the divergent disciplinary and methodological perspectives of scholars from many fields. In addition, the Foundation has acknowledged the importance of the social dimension of scholarship and has valued activities that bring fellows together with other scholars to broaden their perspectives on their own intellectual work. The Foundation remains committed to drawing scholars from a variety of disciplines and, within its fellowship programs, to developing inter-disciplinary communities of scholars who can bring a diversity of disciplinary perspectives to bear on complex educational problems. As in our grants programs, fellowship programs will continue to invite investigator-initiated proposals from scholars studying education, broadly conceived. At the same time, we plan to explore ways in which young scholars might be engaged in cross-generational communities of inquiry focused on emerging targeted research grant-making programs.

Within fellowships, the Foundation has conceptualized the scholarly career as a series of distinct stages and has designed programs of support and professional development for scholars at these different phases of their professional 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. In the future, we will continue to work in partnership with other agencies to offer an array of fellowship programs to support promising researchers interested in education.

The Spencer Foundation Dissertation Fellowship Program, established in 1987 and currently administered in-house, serves advanced doctoral students. The program is designed to identify emerging scholars from education and to attract talented young scholars from other fields to the study of educational issues. It also seeks to help fellows develop professionally in order to sustain their interests in educational inquiry. Each year, thirty to thirty-five fellows are selected from a pool of over 500 applicants. Fellows represent a variety of intellectual and disciplinary perspectives: approximately half are drawn from departments and schools of education, and half are drawn from traditional social science and humanities disciplines. Each fellow receives a stipend of \$20,000 and is invited to a series of meetings designed to introduce the fellows and their work to each other and to other scholars. This fellowship is intended to support the writing of the dissertation during the last year(s) of graduate work. The 2001-2002 fellows are listed on pages 36 and 37.

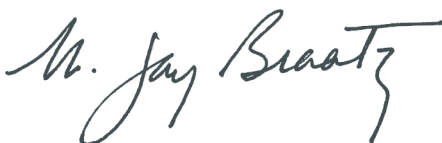
The Advanced Studies Fellowship Initiative was designed to assist postdoctoral scholars, within five years of receipt of degree, by strengthening their capacities as educational researchers and enhancing their professional networks. Two programs existed under Advanced Studies: the Research Group Fellowship Program and the Institute Seminar Program. Research Group Fellowship multi-year grants supported the design and operation of postdoctoral fellowship programs for cohorts of early career scholars. Institute Seminar awards were short-term grants awarded to groups of early career scholars to support workshops, seminars, or conferences of their own design. The Foundation will not accept any new proposals under this initiative in the coming year. Programs approved in this fiscal year are listed on pages 37 and 38.

Begun in 1996, the American Educational Research Association (AERA)/Spencer Pre-Dissertation Fellowship Program is designed to develop a cadre of doctoral students who are in the early stages of their professional studies. The program is administered by AERA. Each year, fifteen to eighteen fellows, from education as well as the disciplines, are selected from a pool of approximately 200 applicants. Fellows receive stipends of up to \$16,000, plus \$4,000 in travel funds. Fellows use their travel funds to meet with mentors from outside of their home institutions and to attend two three-day institutes designed to increase fellows' expertise as researchers and to introduce them to the work of more experienced scholars. Fellows for 2000-2001 are listed on pages 38 and 39.

The National Academy of Education (NAE)/Spencer Postdoctoral Fellowship Program is designed to strengthen education research and scholarship through the support of talented postdoctoral scholars with interests in education. The program was established in 1986 and has been administered by NAE throughout its history. From a pool of approximately 200 applicants in education and the disciplines, approximately thirty early career scholars (within five years of receipt of the doctoral degree) are awarded fellowships each year. The stipend of \$50,000 is intended to provide research and writing support for one full year (or two years half time). In addition, fellows are invited to participate in a program of activities designed to strengthen their affiliation with the professional community of educational research. In recent years, former fellows have also had the opportunity to apply for small grants to support collaborative activities with other fellows. The 2001-2002 fellows are listed on pages 39 and 40.

Since 1971, three to five senior scholars with interests in education have been supported annually as Spencer Fellows at the Center for Advanced Study in the Behavioral Sciences (CASBS). Spencer fellows are part of an interdisciplinary community of approximately forty-five Center fellows in residence for nine to twelve months. The stipend provided allows fellows the opportunity to devote an extended period of time to their own scholarly work as well as to broaden their perspectives through interaction with scholars from other disciplines. The program is administered by CASBS. Spencer fellows are identified and selected through CASBS' regular selection process, which includes nominations and peer reviews of scientists and scholars of exceptional accomplishment or promise. Fellows for 2000-2001 are listed on page 40.

Additional information is available on the Foundation's website, at www.spencer.org. In addition, we welcome questions or concerns about any of these programs. The Foundation's Fellowship office can be reached at 312-337-7000, extension 6526, or via email at fellows@spencer.org. General application information follows on pages 24 and 25.



M. Jay Braatz
Program Officer

DISSERTATION FELLOWS' SIGNIFICANT QUESTIONS

Thirty-six advanced doctoral students from twenty institutions were named Spencer Dissertation fellows in 2001-2002. Their research stems from a variety of disciplinary traditions, employs a range of methods, and takes up a diverse set of substantive questions. For several, the research attends to tensions surrounding the relationship of "local" or cultural knowledge to more "formal" school knowledge in both small and large settings. Race, class, and gender also constitute important lenses of interpretation for these fellows as they trace the negotiations of educational actors in multicultural contexts. The research projects summarized below are selected examples of the kinds of studies undertaken by doctoral students supported by the Foundation's Dissertation Fellowship Program this year.

Several dissertations bring historical analysis to bear on issues in education in a variety of contexts. One study focuses on the formative years of the National Teacher Corps to elicit insights about the history of teacher policy. Examining the founding interests behind the National Teacher Corps, the investigation reveals the underlying liberal activist values of the 1960s, abiding tendencies in education reform, and longstanding American perceptions and ideological clashes about teachers. Such beliefs anchor what the author, Bethany Rogers of New York University, argues is a persistent, if flawed, historical tradition of teacher-improvement initiatives. These interests, the nature of their interaction, and what they reveal about the history of teacher reform policy form the core of the dissertation.

Other dissertations this year are broadly concerned with issues of teaching, learning, and educational practice. One study follows a high school mathematics teacher as he learns about student learning, mathematics, and teaching practice while teaching a newly de-tracked algebra class. The analysis, conducted by Ilana Horn of the University of California, Berkeley, moves from the outside in, first by examining the mathematics department as a place for innovation and learning. Zooming in more closely, the study focuses on common language used by the teacher and his colleagues as they endeavor to de-track their classes. Finally, the teacher's changing understandings of student learning, mathematics, and teaching practices are documented through fine-grained analysis of his interactions with students and colleagues. The dissertation documents the aspects of school and department organization that support and inhibit teacher learning, provides an empirical example of situated learning theory, and illustrates the learning demands of equity-based math reform.

Several of this year's fellows focus their research on language and literacy issues, particularly in bi- or multi-lingual settings. For example, in an ethnographic portrait of seven children, Leslie Moore of the University of California, Los Angeles investigates language socialization processes in a multilingual urban community in Central Africa. Through analyses of the continuities and disjunctions between home, religious, and secular school language, the study documents how children growing up in socioculturally and linguistically heterogeneous settings are socialized to use multiple languages in culturally appropriate ways.

Several other fellows are also working in international contexts. For example, one dissertation compares the kindergarten education movements in England and America from 1850 to 2000. In this study, Kristen Dombkowski of the University of Michigan argues that a complex and changing combination of structural and ideological factors, mostly originating outside the kindergarten movements themselves, made kindergarten attractive and adaptable to American social and educational needs, while making it viable as a philosophy but not as an institution within the English educational mainstream.

Another fellow situates her work in contemporary China. In the summer of 1999, the government of China synthesized and codified a set of long-term efforts at school reform by promulgating a policy called "Education for Quality." This wide-ranging policy mandates new curriculum, pedagogy, and assessment for students in grades 1-9 in order to improve the "quality" of the children produced through the school system. Through an ethnographic study of the effects of the reform on school children of different social classes in Beijing and an analysis of popular discourse about children's "quality," Terry Woronov of the University of Chicago seeks to understand how education reform both reflects and influences the wider social

milieu in which it takes place. More broadly, her research looks closely at the genealogy, implementation, and ideology of this policy as both a school reform project and an ideology of national development centered around children.

Several dissertations this year are focused on issues of social policy, politics, and educational reform. In the U.S. policy realm, one study investigates school district spending under Title I. Using the sharp changes in per-pupil grant amounts resulting from the release of decennial Census data, Nora Gordon of Harvard University analyses how Title I grants, and governmental responses to them, influence overall school district spending levels. Her study tests whether state or local governments react to Title I grants by lowering their own education allocations, and, consequently, if school districts' total revenue gains are less than the amount of the Title I grant. The author argues that it is necessary to identify the net change in school districts' budgets following receipt of Title I funding before evaluating the program's efficacy. The dissertation goes on to examine which types of state and local revenue are most affected by Title I grants and the impact of different political and school finance structures on the degree to which Title I funds affect other revenue sources.

At state and local policy levels, many parents and politicians are calling for strict disciplining of children in order to curb school violence and increase academic achievement. Drawing on Durkheim's theory of moral authority, Sandra Way of the University of Arizona seeks to understand the relationship between school discipline, student behavior, and student achievement. More specifically, this study tests whether stricter school rules, enforcement, and punishment reduce student misbehavior and increase student academic outcomes. The dissertation also explores the degree to which moral authority and social capital differences account for differences in public and private, particularly Catholic, school achievement.

Another study investigates the work and writings of social and educational psychologists, psychiatrists, and African-American social thinkers to examine the significance of psychological ideas in discussions of "race" and "race relations" in mid-20th century American intellectual and cultural life. Beginning in the mid-1930s and stretching into the late 1950s, Jay Garcia of Yale University argues that psychological theories were brought to bear on questions of U.S. racism and racial divisions in different ways by a vast array of intellectuals and cultural producers. By focusing on key historical junctures in midcentury intellectual and cultural life, his dissertation shows how psychology re-shaped American understandings of "race" at the level of public debate, popular representation, educational policy, and political culture and, in turn, how the increased cultural and intellectual centrality of psychological thought in American discussions of "race" affected the sphere of civil rights legislation.

Finally, a few studies focus on questions related to technology and education. As governments and corporations continue to devote resources to classroom Internet technology, little public attention is given to the Web content students are accessing in school. Classroom Web material, and U.S. schools' increasing reliance upon, and faith in, commercial search engines that help students and teachers organize and filter the Internet's resources, is the focus of one dissertation this year. Based on a case study of a local school district's everyday use of commercial Web content in classrooms and a historical analysis of educational media, Bettina Fabos of the University of Iowa examines "educommerce," or, more specifically, the commercial search engines, directories, and associated Web sites that are increasingly making their way into classrooms. This analysis of teacher and student understanding of commercial Web content, and classroom conversations about commercial enterprise, illustrates how Web content is accessed, used, and critiqued in school. More broadly, this study explores the potential of classroom Web material to satisfy information needs in time-constrained classrooms as well as the cost of commercial strategies aimed at a lucrative in-school youth market.

APPLICATION GUIDELINES

THE DISSERTATION FELLOWSHIP PROGRAM FOR RESEARCH RELATED TO EDUCATION

The Dissertation Fellowship Program seeks to encourage a new generation of scholars from a wide range of disciplines and professional fields to undertake research relevant to the improvement of education. These fellowships support individuals whose dissertations show potential for bringing fresh and constructive perspectives to the history, theory, or practice of formal or informal education anywhere in the world.

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

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

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

Application Procedure. Fellowship applicants must request or download 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.

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

APPLICATION INFORMATION

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

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

Inquiries should be addressed to: **AERA/Spencer Pre-Dissertation Research Fellowship Program, The American Educational Research Association, 1230 17th Street, NW, Washington, D.C. 20036.**

THE NATIONAL ACADEMY OF EDUCATION/SPENCER POSTDOCTORAL 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 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.**

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

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

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

REPORT ON INSTITUTIONAL INITIATIVES

Directions and Highlights

Three invitational programs of the Foundation focus on improving the education of education researchers through strengthened institutional initiatives: the Research Training Grant Program, the Discipline-Based Scholarship in Education Program, and the Russian Training and Fellowship Program. These programs seek to support innovative ways to address the training of education researchers by enhancing resources for individuals, strengthening preparation programs at institutions, and enriching doctoral training within the larger educational research community.

Through the Research Training Grant Program, awards are made to schools of education to support the doctoral training of education researchers. Established in 1994, 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 and by developing strong cohorts or communities of inquiry among graduate students and professors, (2) to develop a larger and stronger national community of inquiry, (3) to stimulate reflection on and conversation about doctoral preparation in education, and (4) to generate and diffuse knowledge about research training. Proposals are accepted at the invitation of the Foundation. New proposals are not being invited at this time.

The Discipline-Based Scholarship in Education Program represents a recent extension of the Research Training Grant Program. Awards made in this program are designed to strengthen institutional efforts to bridge

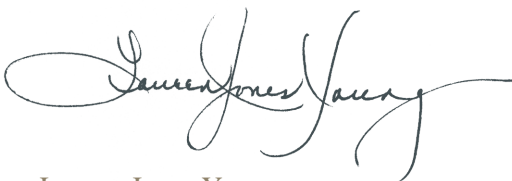
RESEARCH APPRENTICESHIP COURSES UNIVERSITY OF CALIFORNIA, LOS ANGELES

The Research Apprenticeship Course (RAC), organized by education faculty at UCLA's Graduate School of Education and Information Studies, emerged as a means to shift the central focus of research training from a reliance on coursework to that of apprenticeship experiences. The design of the RAC addressed head on the question of how to provide large numbers of doctoral students with quality research mentorship-apprenticeship experiences and, at the same time, recognize faculty time devoted to these mentoring relationships. Drawing on the work and experiences organized for fellows in the Research Training Grant program, Research Apprentice Courses were launched to serve the wider community of doctoral students in the Department of Education.

The RAC is focused on providing a structure that allows students to develop, conduct, and critique their own research and that of their peers under the continuous supervision of faculty. Faculty members are encouraged to organize RACs and can earn one of their required courses per year by teaching a RAC. They can limit the enrollment of their RACs to 10 students, but they may not limit enrollment to only those students who work on paid research projects with them. According to the Department's Policy on Research Apprenticeship Courses, "the central focus of each RAC is on the research interests of the graduate students and their development as independent researchers." RACs have been offered on a range of topics, including education policy analysis, urban teacher education, and equity and access.

work in disciplines and schools of education. The program reflects our understanding that graduate students interested in education are trained in different institutional locations across the university, but that faculty and students may have few opportunities to interact around common interests. The intent is to enhance research preparation based in disciplinary departments and preparation that crosses school and department lines, as well as to enable faculty with interests related to education to work together. Grants will be made to a small number of institutions, a portfolio that will represent a mix of disciplines, thematic foci, and institutional arrangements. Proposals are accepted at the invitation of the Foundation.

The Russian Training and Fellowship Program was introduced in 2000 to support modern social studies of education in Russia. Through a grant to European University at St. Petersburg, the program provides dissertation-writing and postdoctoral fellowships as well as program support that further develops communities of scholars who bring the research traditions of sociology, history, anthropology, and other social studies to the study of education and educational change. To build and sustain an emergent research community focused on the social studies of education, regular professional meetings are planned, as well as conferences, periodical journals, and international exchanges.



Lauren Jones Young
Senior Program Officer

INTER-DISCIPLINARY SEMINAR UNIVERSITY OF WISCONSIN- MADISON

One of the critical problems in a field with so many different traditions, purposes, and foci, is the search for appropriate ways to design graduate education with enough depth and breadth to prepare creative and effective new researchers in the field. (Mary Haywood Metz, June/July 2001, p. 12)

Described in a recent issue of *Educational Researcher*, this set of challenges is the centerpiece of an interdisciplinary pro-seminar, *Diverse Research Traditions in Educational Research*, conceived as part of the Research Training Grant program at the University of Wisconsin-Madison. Co-taught by two education faculty with diverse research interests and offered to students from across several departments in the School of Education who are interested in careers in education research, the seminar intends to complement the understandings of research that doctoral students are developing in their home departments by helping them see how those research traditions fit into a broader framework.

A central aim of the course is to help students understand issues in common in the research process, as well as how these common steps are handled in different research traditions. As one who helped to develop the course, Metz describes its goals: "Our purpose was to get students to see that there is an underlying research process common to very different kinds of work. They could then appreciate how dissimilar research traditions still included strategies to deal with each critical element of the common research process. We wanted students to grasp both underlying similarities and often tacit differences in assumptions and purposes" (p. 13). First offered in Fall 1997, both the syllabus and the ways of teaching have evolved over time, reflecting faculty research expertise, students' critiques of the course, and analyses of teaching and learning.

2001 GRANTS AUTHORIZED

RESEARCH GRANTS

MAJOR GRANTS

Karen D. Arnold and Ted I. K. Youn

Generating Leaders in the Age of Diversity: Fifty Years of American Rhodes Scholars
Department of Higher Education
Boston College
\$268,900 over three years

Marjorie J. Beeghly and Edward S. Tronick

Preschool Follow-Up of Black Children: Factors Predicting Cognitive Competence and Adjustment
Child Development Unit
Children's Hospital
Boston, Massachusetts
\$360,350 over three years

Micheline Chi

Why Students Fail to Understand Many Science Concepts: Misclassifying Collections as Objects, and Emergence as Causality
Department of Psychology
University of Pittsburgh
\$406,600 over forty-two months

David Clarke and Joanne Lobato

Mathematics Classrooms: The Learner's Perspective
Faculty of Education
University of Melbourne
Australia
\$319,500 over three years

Thomas Dixon Cook

Explaining the Long Term Effectiveness of the School Development Program
Department of Sociology
Northwestern University
\$400,000 over three years

Mariam Jean Dreher and Linda Baker

Balancing Learning to Read and Reading for Learning: Achievement and Engagement in Young Children's Reading Instruction
Department of Curriculum and Instruction
University of Maryland at College Park
\$445,750 over forty months

Sarah Warshauer Freedman and Verda Delp

Teaching Untracked English Classes
School of Education
University of California, Berkeley
\$365,350 over thirty-eight months

Roger L. Geiger

The American University in the Marketplace
Center for the Study of Higher Education
Pennsylvania State University
\$68,300 over one year

Jane Hannaway, David N. Figlio, Dan D. Goldhaber, and Cecilia Rouse

An Evaluation of Florida's Voucher ("Opportunity Scholarship") Program
Education Policy Center
The Urban Institute
Washington, DC
\$475,000 over three years

Sylvia Hurtado

Creating Diverse Learning Environments
Center for the Study of Higher and Postsecondary Education
University of Michigan
\$396,550 over three years

Michael S. Knapp and Joan E. Talbert

District Investment in Teacher Improvement: A Comparative Study
Center for the Study of Teaching and Policy
University of Washington
\$430,700 over two years

Mary J. Levitt and Jerome L. Levitt

Social Networks and School Adaptation in Immigrant Children and Adolescents
Department of Psychology
Florida International University
\$456,400 over four years

Dean R. Lillard

The Effects of Mandated State Testing Programs
Department of Policy Analysis and Management
Cornell University
\$158,800 over two years

Peggy J. Miller

Self-Esteem in Folk Theory and Practice: How American Families Personalize a Cultural Ideal
Department of Psychology
University of Illinois at Urbana-Champaign
\$272,500 over thirty months

George W. Noblit and James L. Leloudis

The Marketing of the New South and the Education of African American Children
School of Education
University of North Carolina at Chapel Hill
\$263,600 over three years

Elinor Ochs

Socializing Autistic Children into the Rules of School and Family Life
Department of Anthropology
University of California, Los Angeles
\$508,400 over three years

Laura Ann Petitto

'At What Age Can I Expose My Baby to the Family's Other Language Without Causing Language Confusion?' Analyses of Young Children's Sensitivity to Social and Contextual Cues Provide Answers to the Optimal Age for Bilingual Language Instruction
Department of Psychology
McGill University
Canada
\$170,500 over three years

Jorge Ruiz-de-Velasco and Michael Fix

The Role of Civil Rights Challenges in Shaping Standards-Based Reform Efforts
Education Policy Center
The Urban Institute
Washington, DC
\$263,950 over eighteen months

Geoffrey B. Saxe

Representational Forms, Classroom Practices, and Children's Understanding of Fractions
Graduate School of Education
University of California, Berkeley
\$433,600 over four years

Major Grants

Rebecca J. Stoltzfus, Jorge L. Rosado, and Ernesto Pollitt
Effects of Iron and Zinc Supplementation on Neuropsychologic and Educational Achievement in Lead-Exposed School Children
Division of Human Nutrition
Johns Hopkins University
\$653,250 over three years

Guadalupe Valdes
The Teaching of Spanish as a Heritage Language: Towards the Development of a Coherent Language-Education Policy
School of Education
Stanford University
\$399,550 over three years

Harold S. Wechsler
Minority Access to Mass Higher Education: 1920-1970
School of Education
University of Rochester
\$380,700 over three years

SMALL GRANTS

Nancy A. Abelmann
Chicagoland Korean Americans in Illinois Public Higher Education
Anthropology Department
University of Illinois at Urbana-Champaign
\$35,000

Kathryn M. Anderson-Levitt
Teaching by the Book: Scripted Teaching and Professional Autonomy in Guinea
Department of Behavioral Sciences
University of Michigan-Dearborn
\$34,300

Adina Back
Mothers Take to the Streets: The Convergence of Gender, Race, Ethnicity, and Class in the 1950s New York City School Integration Movement
Institute for Education and Social Policy
New York University
\$35,000

Zvi Bekerman
Arab Jewish Bilingual Education in Israel: Its Influence on Cultural Identities and Its Impact on Cross-Cultural Conflict
School of Education
Hebrew University of Jerusalem
Israel
\$25,250

Charles C. Brown
Race and Ethnic Gaps in Educational Outcomes: The Experience of Children of the U.S. Armed Forces
Institute for Social Research
University of Michigan
\$34,700

Jinfa Cai
U.S. and Chinese Teachers' Conceptions and Constructions of Pedagogical Representations in Mathematics Instruction
Department of Mathematical Sciences
University of Delaware
\$34,950

Lisa M. Catanzarite
Returns to Education in Brown-Collar Occupations
Department of Sociology
University of California, San Diego
\$34,000

Micheline Chi
Searching for Information via the Internet versus the Library
Learning Research and Development Center
University of Pittsburgh
\$34,650

Elisabeth S. Clemens
From Legislation to Innovation? Organizational Lessons from Arizona's Charter Schools
Department of Sociology
University of Arizona
\$33,650

Arthur M. Cohen
Community College Faculty Survey
Center for the Study of Community Colleges
Los Angeles, California
\$34,600

Gilberto Q. Conchas
Promoting Minority School Success: Identity, Ideology, and Race and Ethnic Relations in Distinct Contexts
Graduate School of Education
Harvard University
\$35,000

Colette A. Daiute
Understanding the Complexity of Children's Violent Writing
Program in Psychology
Graduate School and University Center
City University of New York
\$35,000

Nicholas Paul De Genova
Working the Boundaries: Race and Space in Mexican Chicago
New York, New York
\$26,000

Todd Dinkelman
Bridging Democratic Educational Theory and Practice: Social Studies Teacher Education and Service-Learning
Department of Educational Studies
University of Michigan
\$26,000

Eleanor E. Drago-Severson
Helping Teachers Learn: Leadership Lessons for Transformational Learning
Graduate School of Education
Harvard University
\$35,000

Carol Anne Dyhouse
The Mixed College: Coeducation in English University Colleges from the 1960s to the 1980s
School of Cultural and Community Studies
University of Sussex
United Kingdom
\$33,750

Julia L. Evans and Martha W. Alibali
Do Gestures Reveal Hidden Knowledge in Children with Weak Expressive Language Skills?
Department of Communicative Disorders
University of Wisconsin-Madison
\$35,000

Carol Fleisher Feldman
American National Identity
Department of Psychology
New York University
\$34,700

Small Grants

Benjamin Fortna

Reading and Literacy from Ottoman Empire to Turkish Republic
Department of History
School of Oriental and African Studies
University of London
United Kingdom
\$11,385

David Alexander Gamson

Educational Frontiers: A History of Education in the American West, 1849-1920
Department of Educational Policy Studies
Pennsylvania State University
\$35,000

Roger D. Goddard

Collective Efficacy and Student Achievement: A Multilevel Examination of Equity and Excellence in Urban Schools
School of Education
University of Michigan
\$35,000

Susan L. Golbeck

Promoting Young Children's Thinking with Blocks
Graduate School of Education
Rutgers, The State University of New Jersey
\$23,750

Barry Allen Gold

The Social Construction of Urban Education: New Jersey Whole School Reform and Teachers' Understanding of Social Class and Race
Lubin School of Business
Pace University
\$35,000

Ira Harkavy

The Community School Curriculum Project
Center for Community Partnerships
University of Pennsylvania
\$7,000

Margaret R. Hawkins

English Language Learning in a Kindergarten Classroom: A Collaborative Inquiry
Department of Curriculum and Instruction
University of Wisconsin-Madison
\$35,000

Diana E. Hess

How Secondary Social Studies Students Experience and Learn from Classroom Discussions of Controversial Public Issues
Department of Curriculum and Instruction
University of Wisconsin-Madison
\$31,100

Deborah A. Hicks and Rhoda Halperin

Practicing Community/Practicing School: Negotiating Identities of Place and History across Class Boundaries
College of Education
University of Cincinnati
\$35,000

Paul Alexander Howard-Jones and Rosemary Stevenson

Learning Goals and Scientific Inquiry
School of Education
University of Wales Institute, Cardiff
United Kingdom
\$35,000

Kenneth R. Howe and Margaret A. Eisenhart

Education Research and Education Policy Formation: One School District's Response to a Study of their School Choice System
School of Education
University of Colorado at Boulder
\$33,500

Chang-Tai Hsieh

Did School Choice in Sweden Improve Academic Achievement?
Woodrow Wilson School of Public and International Affairs
Princeton University
\$31,400

George Karabatsos

A Comparison of Methods that Evaluate the Quality of an Examinee's Responses on a Test
Department of Biometry and Genetics
Louisiana State University Medical Center
\$26,600

Michelle G. Knight

Understanding Urban Youth's Multiple Worlds: A Study Exploring Black and Latino/a Negotiations of the College-going Processes
Department of Curriculum and Instruction
Teachers College, Columbia University
\$35,000

Eileen Landay

Arts/Literacy Project
Education Department
Brown University
\$34,850

Jane Ledingham

Stress, Coping, Social Support, and Vocational Identity as Determinants of Success in Returning to High School
School of Psychology
University of Ottawa
Canada
\$16,610

Valerie E. Lee

How Stable or Fragile is the Schools-within-Schools Reform?
School of Education
University of Michigan
\$35,000

Stephen E. Lewis

Revolution and the Rural Schoolhouse: Forging State and Nation in Chiapas, Mexico, 1913-1948
Department of History
California State University, Chico
\$24,300

Jin Li

US and Chinese Preschoolers' Understanding of Learning (PUL)
Education Department
Brown University
\$35,000

Audrey L. Light and Wayne E. Strayer

College Transfer Decisions and their Effects on Future Earnings
Department of Economics
Ohio State University
\$33,500

Xiaodong Lin and Daniel L. Schwartz

A Study of Virtual Learning Spaces that Unite Teachers from Different Cultures in their Practices of Instruction
Department of Teaching and Learning
Vanderbilt University
\$35,000

Rebecca A. London

The Role of College Education in Welfare Recipients' Paths to Self-Sufficiency
Center for Justice, Tolerance and Community
University of California, Santa Cruz
\$35,000

Small Grants

Belinda Yun-Ying Louie

Speaking Your Mind: Increasing High School Students' Sensitivity toward Diversity through Multicultural Literature
The Center for the Study of Community and Society
University of Washington, Tacoma
\$35,000

Wendy Luttrell

Becoming BodySmart: What Pregnant Girls Learn about Themselves in School
Graduate School of Education
Harvard University
\$35,000

Victoria-Maria MacDonald

Latinos and African-Americans in the American South: Shifting the Black-White Paradigm in Educational History and Policy
Department of Educational Foundations and Policy Studies
Florida State University
\$10,050

Michele M.M. Mazzocco

Early Indicators of Poor Math Achievement
Kennedy Krieger Institute
Baltimore, Maryland
\$34,150

Robert W. McMeekin

Incentives to Improve Educational Performance
Centro de Investigacion y Desarrollo de la Educacion
Santiago, Chile
\$11,700

Mary Haywood Metz

Inequalities in "The American High School": How Social Hierarchy in Suburbs and Cities Affects High School Teachers' Work
Department of Educational Policy Studies
University of Wisconsin-Madison
\$33,000

David F. Mitch

Literacy and Career Mobility in Two Contrasting Counties in Victorian England: Case Studies of Agricultural Norfolk and Industrial Warwickshire
Department of Economics
University of Maryland at Baltimore County
\$28,600

Katharyne W. Mitchell

Transnationalism and the Challenges to Universalist Public Education: The Case of Muslim Schools in Britain
Department of Geography
University of Washington
\$26,300

Stephen L. Morgan

Can a Stochastic Decision Tree Model of Commitment Account for Trends in College Entry?
Department of Sociology
Cornell University
\$35,000

Michele S. Moses

The Remedial Education Controversy
Division of Educational Leadership and Policy Studies
Arizona State University
\$35,000

Mindy Blaise Ochsner

Locating, Sustaining, and Disrupting Gender Discourses: A Feminist Poststructuralist Study of Gender in Three Kindergarten Classrooms
Department of Elementary Education
Rhode Island College
\$5,000

Angela M. O'Donnell

What is Learned from Cases by Pre-Service Teachers?
Graduate School of Education
Rutgers, The State University of New Jersey
\$26,800

Cindy O'Donnell-Allen

Tools of the Trade: An Analysis of the Collaborative Discourse Practices of a Teacher Research Group
Department of English
Colorado State University
\$26,500

Helen Patrick

Creating Classroom Contexts that Support Early Adolescents' Adaptive Engagement in Mathematics
Department of Educational Psychology and Foundations
Northern Illinois University
\$22,600

Linda M. Perkins

The Search for Talented Negro Youth: The National Scholarship Service and Fund for Negro Students, 1947-1968
Department of Educational Foundations and Counseling Programs
Hunter College, City University of New York
\$35,000

Therese D. Pigott

Kindergarten Teachers' Ratings of Low-income Children in the Early Childhood Longitudinal Study
School of Education
Loyola University of Chicago
\$35,000

Ben Rampton

Interaction, Media Culture, and Adolescents at School
School of Education
King's College London
University of London
United Kingdom
\$34,975

Claire L. Ramsey

Deaf American Readers in and out of School in the 19th and Early 20th Centuries
Department of Special Education and Communication Disorders
University of Nebraska-Lincoln
\$35,000

Mike Rose

Study of the Learning and Cognition of Skilled Work: 2000-2001
Graduate School of Education and Information Studies
University of California, Los Angeles
\$35,000

Gavriel Salomon

Constructing an Adversary's Narrative in Ethnocultural Conflicts
Faculty of Education
University of Haifa
Israel
\$31,500

Katrina M. Sanders

Charles S. Johnson and The Fisk University Race Relations Institute, 1944-1969
Division of Planning, Policy and Leadership Studies
University of Iowa
\$28,900

Small Grants

Anat Scher

Caregivers' Mediation and Toddlers' Emotional Responses in the Day-Care Context
Faculty of Education
University of Haifa
Israel
\$31,150

Alice Schlegel

Adolescent Involvement in the Civil Institutions of Siena, Italy
Department of Anthropology
University of Arizona
\$17,300

Steven Selden

The Structuring of Inequitable Educational Policy and Practice
Department of Education Policy and Leadership
University of Maryland at College Park
\$27,150

Jianping Shen

Teacher Attrition in Public Schools: A National, Longitudinal Study
Department of Teaching, Learning and Leadership
Western Michigan University
\$31,400

Alexander Sidorkin

Pedagogy of Relation: Mutuality, Authority, and Polyphony
Department of Educational Foundations and Inquiry
Bowling Green State University
\$14,200

Chandralekha Singh

Using Effective Problem Solving Strategies to Develop Scientific Reasoning in Students
Department of Physics and Astronomy
University of Pittsburgh
\$35,000

Lawrence R. Sipe

Responding to Stories: Literary Understanding in a Kindergarten Interpretive Community
Graduate School of Education
University of Pennsylvania
\$35,000

Hugh Richard Slotten

History of Educational and Public Broadcasting in the United States
Cambridge, Massachusetts
\$35,000

Peter Smagorinsky

Multimedia Composing across the Secondary School Curriculum
Department of Language Education
University of Georgia
\$34,970

Stephen Samuel Smith

Swann Song for School Desegregation in Charlotte-Mecklenburg? The Policy and Political Consequences of the Reopened Swann Litigation
Department of Political Science
Winthrop University
\$35,000

Nancy J. Smith-Hefner

Islam, Education, and Gender Transformation in Contemporary Java
Department of English
University of Massachusetts Boston
\$13,550

Joseph F. Spillane

Historical Perspectives on the Education of Adult Prisoners
Department of History
University of Florida
\$33,600

Paul A. Stansbery

Socio-Communicative Patterns in Early Learning: Home-School Cultural Discontinuity
Child Development Unit
Children's Hospital
Boston, Massachusetts
\$29,200

Louise L. Stevenson

A History of the Intellectual Life of American Women from the Revolution till the Advent of Commercial Radio in the 1920s
Department of History
Franklin and Marshall College
\$35,000

Leslie S. Stratton, Dennis M. O'Toole, and James N. Wetzel

Why College Students Choose to Enroll Full-Time, Part-Time, or Stop-Out
Department of Economics
Virginia Commonwealth University
\$30,000

Kenneth Tobin

Learning to Teach Science in an Urban High School: The Roles of Community Building and Coteaching
Graduate School of Education
University of Pennsylvania
\$35,000

Penelope Vinden

Language of Control and Children's Understanding of Mind: A Study of Low-income Families
School of Psychology
Clark University
\$34,970

Lois Weis

Class Reunion: Whatever Happened to the Class of 1987?
Department of Educational Organization, Administration and Policy
State University of New York at Buffalo
\$35,000

Christopher Winship

The Effects of Education on Mental Ability
Department of Sociology
Harvard University
\$34,000

Roberta L. Wollons

Culture, Gender, and Missionary Education: A Post-Colonial View
Department of History
Indiana University Northwest
\$35,000

Terry L. Wood

An Exploratory Study of Children's Mathematical Reasoning and Understanding in Different Classroom Environments
Department of Curriculum and Instruction
Purdue University
\$33,950

Liliana Barro Zecker

Emergent Literacy in a Two-Way Immersion Bilingual Education Program: The Roots of Bilinguality
School of Education
DePaul University
\$35,000

PRACTITIONER RESEARCH COMMUNICATION AND MENTORING GRANTS

Jennifer Allen

What Impact do Teacher-Research Groups Have on Instructional Practices of Teachers and Student Achievement?

George J. Mitchell School
Waterville, ME
\$32,000

Robyn Barratt

The South Australia Middle Schooling Network (SAMSN) and Centres of Research

Department of Education, Training and Employment
Adelaide, Australia
\$30,000

Terence A. Beck, Christie L. Brown, and Paula Rogers

Building a Reflective Community Through Practitioner Research

Federal Way Public Schools
Auburn, WA
\$30,000

Dean W. Blase, Sherwin D. Little, and Rebecca C. McFarlan

Research Patterns in Syntax and Rhetoric: A Collaboration Between Foreign Language and English Teachers and Students

Indian Hill Exempted Village School District
Cincinnati, OH
\$32,000

Janice Bloom and Lori Chajet

The Uses of Teacher Research for Building Professional Communities

New Visions for Public Schools
New York, NY
\$30,000

Katherine C. Boles and Vivian Troen

A Project Proposal to Design and Access A Sustainable and Replicable Model of Teacher Research in Two Boston Schools

City on a Hill Charter School
Boston, MA
\$25,000

Madeline Brick

Teacher-Writer, Teacher-Researcher

Hudson Public Schools
Hudson, MA
\$30,000

Linda Brodkey

San Diego Area Writing Project

Department of Literature
University of California, San Diego
\$32,000

Shirley P. Brown

Going Deeper: Documenting Pedagogies of Multicultural Classrooms

Philadelphia Writing Project
University of Pennsylvania
\$30,000

Gail E. Burnaford

Teacher Research Across Urban and Suburban Classrooms: A Collaboration of Preservice, Inservice, and University Researchers

Department of Teacher Education
Northwestern University
\$25,800

Heidi Byrnes and John M. Norris

Supporting Teacher-Researchers in a Comprehensive Curriculum Renewal Project in a College Foreign Language Department

Department of German
Georgetown University
\$29,900

Barbara M. Comber

Doing Teacher Research: Documenting, Disseminating and Connecting

Language and Literacy Research Centre
University of South Australia
\$30,000

Brian Dare, Lina Russo, and Monica Williams

Understanding the Literacy Demands of the South Australian Commission of Catholic Schools Framework Through a Functional Perspective

South Australian Commission of Catholic Schools
\$28,200

Barbara H. Davis and Virginia K. Resta

A New Voice: Supporting Beginning Teachers as Teacher Researchers

Department of Curriculum and Instruction
Southwest Texas State University
\$15,000

Greta Davis

Focusing on Learner Perspectives

Durham District School Board
Whitby, ON
\$28,750

Lisa D. Delpit

Teachers Write to Find Their Way

Center for Urban Educational Excellence
Georgia State University
\$30,000

Barbara Zulli D'Emilio and Jill M. Weiler

Tellin' Stories Practitioner Research Project

Network of Educators on the Americas
Washington, DC
\$24,900

Deborah R. Dillon and David G. O'Brien

Building a Community of Inquiry to Enhance Teaching and Learning

Department of Curriculum and Instruction
Purdue University
\$30,000

Eugene E. Garcia

Researching the McAteer School Ventana Project

University of California, Berkeley
\$30,000

Andrew David Gitlin

Practitioner Research Communication and Mentoring Grant Project

Department of Educational Studies
University of Utah
\$30,000

Helen Grant and Catherine Walsh

Identity: Investigating Power Relations

Ingle Farm Primary School
Ingle Farm, South Australia
\$30,000

Pat Grant and Lyn Wilkinson

Locality and Community: Issues Impacting Literacy Teaching and Learning

School of Education
University of South Australia
\$30,000

PRCM Grants

Christine M. Gutierrez
The Inner City: Emerging Lives
The Achievement Council
Los Angeles, CA
\$30,000

Maureen T. Jelloe
*The Rollins Griffith Teacher Center
of Boston Project*
Boston Public Schools
South Boston, MA
\$32,000

Julie Kalnin
*Establishing a Framework for Imbedding
Research in Practice*
Department of Curriculum and Instruction
University of Minnesota
\$30,000

Katherine W. P. Keleher
*August L. Schilling Teacher Research
Project*
August L. Schilling Elementary School
Newark, CA
\$30,000

Suzanne Kirkpatrick
Untitled
Kirkwood School District R-7
Kirkwood, MO
\$30,000

**Judith M. Kysh and
Karen Ann Watson-Gegeo**
Publishing Teacher Research
Division of Education
University of California, Davis
\$30,000

James Maddox and Dixie Goswami
*Teacher Research on Language and
Cultural Diversity: A Positive Resource in
Schools and Communities*
The Bread Loaf School of English
Middlebury College
\$50,000

Jabari Mahiri
*Teacher Action Research Cohort:
Institutionalizing the Culture of Inquiry
at BHS*
Graduate School of Education
University of California, Berkeley
\$30,000

Janet McDowall
*Collaborative Teacher Research: Mentoring
to Enhance Professional Understanding
of Literacy Learning Through the
Expressive Arts*
The Centre for Studies in Literacy, Policy,
and Learning Cultures
University of South Australia
\$30,000

Virginia Lazenby Pierce
*Literary Instruction: What Counts? A
Qualitative Inquiry*
Department of Teacher Development
St. Cloud State University
\$30,000

Brenda Miller Power
*Sympathetic Vibrations: Putting Inquiry at
the Heart of Professional Development in
One School District*
Brewer School Department
Brewer, ME
\$50,000

Susan F. Proulx
Growing Meaning
Worcester Public Schools
Worcester, MA
\$29,850

**Kiran Dilip Purohit, James J. Albright,
and Christopher S. Walsh**
*Building Social Reconstructionist
Curricula of Multiple Literacies in
Interdisciplinary Classrooms*
Board of Education Community School
District 2
New York, NY
\$30,000

Rachel Ravreby and Geoffrey Winikur
*What Happens to Teacher Practice and
Pedagogy When Teachers Form an Inquiry
Community to Conduct Teacher Research?*
Philadelphia Education Fund
Philadelphia, PA
\$32,000

David William Schaafsma
*The St. Dymphna Project: Beginning
Urban English Teachers Learning to Teach
for Democracy*
Department of English
University of Illinois at Chicago
\$30,000

Kathy G. Short and Dana L. Fox
*Mentoring Teacher-Researchers in
Academic Writing and Publishing*
Department of Language, Reading
and Culture
University of Arizona
\$30,000

Terry Jo Smith and William C. Rhodes
*Constructing Teacher Research in Special
Education Settings*
Department of Special Education
National-Louis University
\$30,000

Walter Scott Smith and Nancy Alison Blair
*Native American Research Network
(NARN) to Address Native American
Students' Attitude Toward and Achievement
in Science*
Department of Biology
Ball State University
\$30,000

Jesse Solomon
*The Teachers' Institute Teacher-
Research Group*
City on a Hill Charter School
Boston, MA
\$30,000

Richard Sterling
Digital Storytelling Pilot Project
National Writing Project
Berkeley, CA
\$30,000

Carol Tateishi
*Developing Leadership and Site Capacity
in Teacher Research*
Bay Area Writing Project
University of California, Berkeley
\$30,000

John A. Thorpe and Marilyn Hala
*Building a Support Community for
Practitioner Research in Mathematics
Education*
National Council of Teachers of
Mathematics
Reston, VA
\$50,000

Emily H. van Zee
*Fostering Teachers' Inquiries into
Learning Science*
Department of Curriculum and Instruction
University of Maryland at College Park
\$50,000

SENIOR SCHOLARS

Larry V. Hedges

The Social Distribution of Academic Achievement in America
Departments of Psychology and Sociology
University of Chicago
\$400,000

Charles M. Payne

Reforming Urban Education
Departments of African-American Studies and History
Duke University
\$400,000

RESEARCH ON SCHOOL REFORM

Mary Kay Stein and Hugh B. Mehan

Reform As Learning: Constructing Communities of Learning in the San Diego City Schools
Learning Research and Development Center
University of Pittsburgh
\$750,000

SOUTHERN INITIATIVE GRANTS

Barnett Berry

The Impact of High Stakes Accountability on Professional Development: Evidence from the South
University of North Carolina General Administration
\$500,000 over two years

Kathryn M. Borman

Support for the Consortium for Educational Research in Florida
University of South Florida
\$305,600 over two years

Judith R. Blau

Adolescent Achievement and Problem Behaviors: Contexts and Trajectories
University of North Carolina at Chapel Hill
\$248,100 over two years

John Brantley

Support for The Appalachian Colleges Consortium
Appalachian College Association
\$154,000 over two years

Alice Brown

In the Shadows of the Mountains: Study on Graduates of Private Liberal Arts Colleges in Central Appalachia
Appalachian College Association
\$250,000 over three years

William Darity

Effective Schools and Effective Students
University of North Carolina at Chapel Hill
\$425,300 over three years

Gary Henry

The Impact of High Stakes Accountability on Professional Development: Evidence from the South
Georgia State University
\$210,000 over two years

Jacqueline Jordan Irvine and Vanessa Siddle Walker

Support for the Southern Consortium for Educational Research in Urban Schools
Emory University
\$250,000 over two years

Thomas Nechyba

Individual and Group Differences in Student Achievement: The Role of Peers, Parental Choices, and Neighborhoods
Duke University
\$285,650 over two years

Helen F. Ladd

Teacher Quality and Student Achievement
Duke University
\$422,500 over three years

FELLOWSHIPS

SPENCER DISSERTATION FELLOWS

Eileen P. Anderson-Fye

Secondary Education of Girls and Cultural Change in Belize
Graduate School of Education
Harvard University

Joel D. Andreas

Education and Class Transformation Following the 1949 Chinese Revolution
Department of Sociology
University of California, Los Angeles

Pamela R. Bennett

Multiple Locations of Disadvantage: The Effects of Race, Socioeconomic Background, and Racial Residential Concentration on Opportunities for Educational and Labor Market Achievement
Department of Sociology
University of Michigan

Philip H. Brown

Intra-Household Bargaining and Educational Outcomes in China's Poor Areas
Department of Economics
University of Michigan

Tiffany Chin

Creating Educational Success: How Children Manage, Resist, and Comply with School, Family, and Peer Influences on their Academic Performance
Department of Sociology
University of California, Los Angeles

Jennifer L. Cohen

Making Their Own Way: Mexican American High School Girls, Language, Identity, and Educational Achievement
Department of English
University of Illinois at Chicago

Kristen M. Dombkowski

"Froebel Has Shown Us the Right Road": The Kindergarten in England and the United States, 1850-2000
Department of History
University of Michigan

Bettina G. Fabos

A Commercial Highway in Every Classroom: Investigating Web Content in Schools
College of Education
University of Iowa

Jay Garcia

Psychology Comes to Harlem: Psychological Expertise, Social Thought, and Race in the Mid-Twentieth Century United States
American Studies Program
Yale University

David Gold

Power to the People: Alternative Sites of Rhetorical Instruction in American Colleges, 1875-1947
Department of English
University of Texas at Austin

Nora E. Gordon

Fiscal Federalism and the Flypaper Effect: How Title I Affects School District Revenue and Spending
Department of Economics
Harvard University

Ilana Horn

Learning on the Job: A Math Teacher's Professional Development in the Context of Secondary School Reform
Graduate School of Education
University of California, Berkeley

Kathryn M. Howard

Language Socialization in a Lanna Thai Bilingual Community
Department of Applied Linguistics
University of California, Los Angeles

Kerri A. Kerr

Easing the Transition to High School: The Effect of School Organization on Ninth Grade Success
Department of Sociology
Johns Hopkins University

Andrea L. Kortenhoven

Raising their Voices: Black Girls' Verbal Culture in the Face of Hegemonic Femininity
Department of Linguistics
Stanford University

Tondra L. Loder

Race, Gender, and Generation: A Life Course Perspective on Women School Leaders' Life Trajectories and their Subjective Meanings of Work
School of Education and Social Policy
Northwestern University

Julie A. Marsh

Understanding Joint Work in Political Settings: District-Community Partnerships for Educational Improvement
School of Education
Stanford University

Jessica R. Matthews

Killing a Culture to Save a Race: Culture as Malady in the Discourse of the Carlisle Indian Boarding School
Department of English
George Washington University

Lance T. McCready

Visible, Yet Unseen: Troubling Identities of Black Males In and Out of School
Graduate School of Education
University of California, Berkeley

Jacqueline H.E. Messing

Language Shift and Bilingual Schooling: An Ethnographic Study of Ideologies and Practices in Tlaxcala, Mexico
Department of Anthropology
University of Arizona

Mary Evelyn Miller

Women's Literacy Power: Collaborative Approaches to Developing and Distributing Women's Literacy Resources
School of Education
University of St. Thomas

Leslie C. Moore

Language Socialization at Home, Koranic School, and Public School in a Fulbe Community
Department of Applied Linguistics
University of California, Los Angeles

Spencer Dissertation Fellows

Bruce J. Novak

What IS "English"?: The Intellectual Origins, Current Perils, and Future Horizons of Publicly-Instituted Democratic Humanism
Department of Education
University of Chicago

Nadine Pinède

"Finely Aware and Richly Responsible": Iris Murdoch, Martha Nussbaum, and Maxine Greene on the Moral Imagination, Literature, and Ethics
College of Education
Indiana University

Laura A. Post

Working Toward Equity: Teachers and Teacher Communities Changing Practices
School of Education
Stanford University

Manya J. Raman

Proof and Justification in Collegiate Calculus
Graduate School of Education
University of California, Berkeley

Bethany L. Rogers

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

Jennifer L. Romich

The Trade-offs of Full-Time Work: Effects of Parental Employment on Children's Academic and Social Achievement
School of Education and Social Policy
Northwestern University

Shalini Shankar

Windows of Opportunity: South Asian-American Youth and the Promise of Technology in Silicon Valley High Schools
Department of Anthropology
New York University

Amy Thoreson

Trends in Group Differences in Academic Achievement and Post-High School Outcomes
Department of Education
University of Chicago

Sarah C. Thuesen

Lessons in Division: The Culture and Politics of Black Education in North Carolina, 1920-1960
Department of History
University of North Carolina at Chapel Hill

Margaret M. Watson

Doing Homework: Negotiations of the Domestic in Twentieth-Century Novels of Teaching
Department of English
Louisiana State University

Sandra M. Way

For Their Own Good? The Effects of School Discipline on Student Behavior and Academic Achievement
Department of Sociology
University of Arizona

Heather A. Williams

Self-Taught: The Role of African Americans in Educating the Freedpeople, 1861-1871
American Studies Program
Yale University

Terry E. Woronov

Reforming Education, Improving Children: China's Children and the "Education for Quality" Movement
Department of Anthropology
University of Chicago

Rebecca K. Zarger

Acquisition and Transmission of Environmental Knowledge by Q'eqchi' Maya of Southern Belize
Department of Anthropology
University of Georgia

ADVANCED STUDIES INSTITUTE/SEMINAR AWARDS

Christopher M. Hoadley and William A. Sandoval

The Learning and Design Underground: A Collaborative Institute for Early-Career Scholars on Design-Based Research Methods
SRI International
Menlo Park, California
\$167,150

Charles L. Thompson

Minority Achievement Gaps in North Carolina, the Southeast, and the Nation
The North Carolina Education Research Council
University of North Carolina General Administration
\$140,000

Geneva Smitherman and Susan M. Gass

Michigan State University Research Institute for University of North-West Faculty
Department of English
Michigan State University
\$130,930

Amy E. Stambach, Kathleen D. Hall, and Bradley A. U. Levinson

Reconsidering the Interrelationship of Anthropology and Education
School of Education
University of Wisconsin-Madison
\$113,000

ADVANCED STUDIES RESEARCH GROUP PLANNING GRANTS

Dominic J. Brewer
Education Department
RAND
Santa Monica, California
\$50,000

**Steven M. Seidel, Tina Grotzer, and
Shari Tishman**
Harvard Project Zero
Graduate School of Education
Harvard University
\$49,900

Karen K. Wixson
School of Education
University of Michigan
\$48,950

**Rebecca J. Emigh, Robert D. Mare, and
Vilma Ortiz**
Department of Sociology
University of California, Los Angeles
\$49,750

ADVANCED STUDIES RESEARCH GROUP FELLOWSHIP AWARDS

**James M. McPartland, Karl L.
Alexander, and William M. Cutright**
Center for Social Organization of
Schools/Department of Sociology
Johns Hopkins University
\$775,500

AMERICAN EDUCATIONAL RESEARCH ASSOCIATION/SPENCER FOUNDATION PRE-DISSERTATION RESEARCH FELLOWS

Kathleen C. Anderson
*Explaining Scale in Geography:
A Comparison of Disciplinary and
Pedagogical Expertise*
School of Education
University of Pittsburgh

Michael Barnett
*Investigating Inquiry: A Multi-Teacher
Perspective*
School of Education
Indiana University

Carol B. Brandt
*Hidden Narratives of Science: School
Science Identities and Scientific Discourse
among American Indian Women in Higher
Education*
College of Education
University of New Mexico

Joan DeJaeghere
*Global Dimensions of Citizenship
Education: New Constructions of
Citizenship in Australia*
College of Education and Human
Development
University of Minnesota

Anne J. Goldberg
*Border Identities: Comparing School
Communities on Either Side of the United
States-Mexico Border*
Department of Anthropology
Arizona State University

Susan G. Lasky
*An Exploration of Teacher Vulnerability,
During Large-Scale Reform, in a Canadian
and an American Secondary School*
Ontario Institute for Studies in Education
University of Toronto

Sieglinde Lim de Sánchez
*Red Lanterns on the Levee: The
Educational History of the Mississippi
Delta Chinese, 1920-1950*
College of Education
University of Illinois at Urbana-Champaign

Michael Stuart Matthews
*Assessment of Spanish/English
Bilingual Students*
College of Education
University of Georgia

Ruanda Garth McCullough
*Cultural Context Connections and
Comprehension: The Influence of Culture-
Specific Prior Knowledge in the Reading
Process*
Department of Education
University of Chicago

AERA/Spencer Foundation Pre-Dissertation Research Fellows

Shederick Antonio McClendon

The Influences of Social and Cultural Capital on College Students' Persistence
Peabody College
Vanderbilt University

Jeffrey A.S. Moniz

Teacher Education in the Area of Cross-Cultural Education
School of Education
University of California, Santa Barbara

Colin Ong-Dean

Social Construction of Disability
Department of Sociology
University of California, San Diego

Luis Urrieta, Jr.

In the Belly of the Beast: Evolutionary Identity, Activism, and Ideology amongst Chicana/Chicano Institutional Educators
School of Education
University of North Carolina at Chapel Hill

Felice Wyndham

Ethnobotanical Knowledge and Communication Networks: An Interactionist Approach to Understanding Indigenous Education Systems in the Sierra Tarahumara, Mexico
Department of Anthropology
University of Georgia

Yasmine L. Ziesler

Socialization of Minority Culture Children: Korean Children in American Schools
Department of Anthropology
Boston University

AMERICAN EDUCATIONAL RESEARCH ASSOCIATION/SPENCER FOUNDATION PRE-DISSERTATION TRAVEL FELLOWS

Kirsten Claire Crowder

Education of Students with Emotional Disturbance
College of Education
University of Georgia

Julie Anne Edmunds

Constructing "Normality": Teaching to the Middle in a Kindergarten Classroom
School of Education
University of North Carolina at Chapel Hill

Elizabeth B. Kelso

College Students in Small Group Discussions: Face-to-Face and Online
School of Education
New York University

2001 NATIONAL ACADEMY OF EDUCATION/SPENCER POSTDOCTORAL FELLOWS

Derrick P. Alridge

The Educational Thought of W.E.B. DuBois: An Intellectual History
Department of Social Foundations of Education
University of Georgia

Mitchell J. Chang

An Examination of the Relationships Among Diversity-Related Efforts and their Individual Cumulative Effects on College Student Development
Graduate School of Education & Information Studies
University of California, Los Angeles

Emily C. Hannum

Children's Schooling in Rural Northwest China
Graduate School of Education
Harvard University

Ann K. Boulis

Gender and Medical Education
Department of Sociology
University of Pennsylvania

Gilberto Q. Conchas

Promoting Minority Academic Success: Understanding the Role of Institutional Mechanisms in Distinct School Contexts
Graduate School of Education
Harvard University

Ann M. Hironaka

The Effects of Higher Education on Transitions to Political Democracy
Department of Sociology
University of Minnesota

Rebecca E. Bryant

An Aesthetics of Self: Moral Remaking and National Education
Department of Sociology
Bogaziçi University
Turkey

Kimberly A. Goyette

The Mismatch Between Educational Expectations and Attainment: Explaining Race and Socioeconomic Differences
Department of Sociology
Temple University

Louise B. Jennings

Investigating Inquiry-Based Pedagogies in the Context of Standards-Based Reforms
Department of Educational Psychology
University of South Carolina

Jeesun Kim

The Importance of What is Being Read: Language Effects in Dyslexia
Department of Psychology
University of Melbourne
Australia

NAE/Spencer Postdoctoral Fellows

Michelle G. Knight

The Future is Present: An Ethnography of College-Bound Urban Youth's Multiple Worlds

Department of Curriculum and Teaching
Teachers College, Columbia University

Matthew D. Lassiter

The Rise of the Suburban South: The Silent Majority and the Politics of Education, 1945-1975

Department of History
University of Michigan

Andrew B. Lewis

Wandering in Two Worlds: Race, Citizenship, and Education Since 1945

Department of History
State University of New York at Binghamton

Susanna Loeb

Attracting and Retaining High-Quality Teachers in Low-Performing Schools

School of Education
Stanford University

Xin Ma

Early Acceleration of Students in Mathematics: Does it Promote Stability of Growth in Achievement Across Mathematical Areas?

Department of Educational Psychology
University of Alberta
Canada

Joseph R. Moreau

Schoolbook Nation: Battling Over Portrayals of the American Community in Pre-Collegiate History Textbooks, 1865-2000

Department of General Education and English as Second Language
Globe Institute of Technology

Andrea R. Nagy

Defining English: Linguistic and Cultural Literacy in Seventeenth-Century Dictionaries

Department of English
Yale University

Ruth Curran Neild

Moving On, Falling Behind: Urban Students and the Ninth Grade Transition

Graduate School of Education
University of Pennsylvania

Yoshiko Nozaki

Japanese Education, Nationalism, and the Politics of War Memories, 1945-2000

Department of Social and Policy Studies in Education
Massey University
New Zealand

Ana A. Payne

The Effect of Earmarking and Set-Aside Programs on Research Funding and Productivity

College of Urban Planning and Public Affairs
University of Illinois at Chicago

Deanne R. Perez-Granados

Fool's Gold? The Role of Computer Technology in Young Children's Learning and Play

School of Education
Stanford University

Brian W. Platt

Burning and Building: School, Community, and the Creation of the Modern Japanese State 1750-1900

Department of History and Art History
George Mason University

Jennifer King Rice

An Economic Analysis of Teacher Quality Versus Teacher Quantity: Tensions and Tradeoffs

Department of Education Policy and Leadership
University of Maryland at College Park

Evan Schofer

The Worldwide Expansion of Higher Education, 1960-2000: A Comparative Statistical Analysis

Department of Sociology
University of Minnesota, Twin Cities

Mark R. Schultz

The Julius Rosenwald Fund and the Transformation of Educational Funding in the South, 1910-1950

Department of History
Lewis University

Miriam Gamoran Sherin

Developing Teachers' Professional Vision Through Use of Video Clubs

School of Education and Social Policy
Northwestern University

Mona L. Siegel

The Moral Disarmament of France: Education, Pacifism, and Political Culture, 1914-1940

Department of History
University of Cincinnati

David H. Sikkink

Religion, Race, and Schooling Choices for Children

Department of Sociology
University of Notre Dame

Anita Wilson

Prison Education -- Policy, Practice, and Process: A Transatlantic Comparison

Department of Linguistics and Modern English Language
Lancaster University
United Kingdom

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

George Hillocks, Jr.

The Education of Teachers
Department of Education
University of Chicago

Jean Lave

The Politics of Learning
Graduate School of Education
University of California, Berkeley

Richard J. Shavelson

Testing and Accountability in Higher Education
School of Education
Stanford University

INSTITUTIONAL INITIATIVES

RESEARCH TRAINING GRANTS

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

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

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

**Teachers College,
Columbia University**
New York, New York

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

**Division of Educational Studies
Emory University**
Atlanta, Georgia

**Graduate School of Education
Harvard University**
Cambridge, Massachusetts

**College of Education
Michigan State University**
East Lansing, Michigan

**School of Education
University of Michigan**
Ann Arbor, Michigan

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

**School of Education and Social Policy
Northwestern University**
Evanston, Illinois

**Graduate School of Education
University of Pennsylvania**
Philadelphia, Pennsylvania

**School of Education
Stanford University**
Stanford, California

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

**School of Education
University of Wisconsin-Madison**
Madison, Wisconsin

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

* Member, South African Consortium

CONFERENCE GRANTS RELATED TO RESEARCH TRAINING

Education and Its Coverage in the Press
Teachers College
Columbia University

**Core Course(s) for Fledgling Educational
Researchers (and Their Faculty)**
Graduate School of Education and
Information Studies
University of California, Los Angeles

**Urban Education Scholars Exchange
Program, Year 3**
Graduate School of Education and
Information Studies
University of California, Los Angeles,
School of Education and Social Policy
Northwestern University, and
Graduate School of Education
University of Pennsylvania

**RTG Deans and Faculty Meeting,
Cape Town**
Faculty of the Humanities
University of Cape Town
South Africa

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

RESEARCH TRAINING PLANNING GRANTS

Centre for Higher Education

Transformation (CHET)

Consortium of South African Universities

Cape Town, South Africa

RUSSIAN FELLOWSHIP AND TRAINING PROGRAM

Daniel Alexandrov

*International Exchanges in the Social
Studies of Education in Russia*

Departments of Political Science and
Sociology

European University at St. Petersburg

Russia

\$175,000

Daniel Alexandrov

Russian Fellowship and Training Program

Departments of Political Science and
Sociology

European University at St. Petersburg

Russia

\$850,000

CONFERENCE AND OTHER GRANTS

RESEARCH CONFERENCE GRANTS

Yvette M. Alex-Assensoh and Akwasi B. Assensoh

Beyond Diversity: Assessing the Incorporation Experiences of Faculty of Color in Predominantly White Institutions
Department of Political Science
Indiana University
\$48,150

Adomako Ampofo and Rebecca Afua Laumann

Roundtable on the State of Education in Ghana and Its Implications for Development
Institute of African Studies
University of Ghana-Legon
\$20,505

James A. Banks

Diversity and Citizenship Education in Multi-Cultural Nation-States: Research and Practice
College of Education
University of Washington
\$50,000

Gail F. Burrill and Tamae Maeda Wong

U.S. - Japan Teacher Development Workshop
Mathematical Sciences Education Board
National Academy of Sciences
\$50,000

Craig Calhoun

A Proposal to Establish a Joint National Academy of Education/Social Science Research Council Committee on Education
Social Science Research Council
\$50,000

Joseph C. Campione

Children's Learning and Implications for Educational Reform: Perspectives from Complementary Theories, Methods, and Contexts
Graduate School of Education
University of California, Berkeley
\$38,900

Sheila G. Cohen, Dana L. Grisham, and Carole S. Rhodes

Culturally Responsive Partnerships in Teacher Education
Education Department
State University of New York College at Cortland
\$19,350

Christopher T. Cross

The Eye of the Storm: Improving Teaching Practices to Achieve Higher Standards
Council for Basic Education
\$35,000

Diane F. Halpern and Milton D. Hakel

Practicing What We Preach: A Research Agenda to Enhance Learning and Transfer in College Classrooms
American Psychological Society
\$50,000

Chester W. Hartman and Sandra Paik

High Student Mobility/Classroom Turnover: How to Address It? How to Reduce It?
Poverty & Race Research Action Council
\$50,000

Fernando Hernandez and Juana M. Sancho

Social Geographies of Educational Change: Contexts, Networks, and Generalizability
Department of Education
Universitat de Barcelona
\$50,000

Timothy J. Kelly and Richard Lehrer

A Multiconstituency Initiative for Coordinating and Directing Curriculum Development, Assessment, and Research Efforts Relevant to the Teaching and Learning of Probability and Statistics, K-12
Institute for Advanced Study
\$50,000

Elizabeth Lapovsky Kennedy and Banu Subramaniam

The Future of Women's Studies: Foundations, Interrogations, and Politics
Department of Women's Studies
University of Arizona
\$45,950

Daniel Losen and Christopher Edley

Minority Issues and Special Education in the Public Schools
Harvard Law School
Harvard University
\$50,000

Gene I. Maeroff and William J. Russell

The Morning Institute: A Seminar on Educational Research and the Press
Hechinger Institute on Education and the Media
Teachers College, Columbia University
\$26,400

Charles M. Payne and Kenneth A. Dodge

Improving Achievement in Urban Schools
Departments of African-American Studies and History
Duke University
\$48,600

Ann S. Rosebery

Toward the Development of Practitioner-Research: A Conference Proposal
Cheche Konnen Center
TERC
\$38,400

Larry Scripp

Making Music Work in Public Education: Innovative Program Development and Research From a National Perspective
New England Conservatory
\$50,000

Kathy Simon, Elyse Eidman-Aadahl, Thomas C. Hatch, Ann Lieberman, and Richard Sterling

Advancing the Work of Teaching Through Teacher Scholarship
Coalition of Essential Schools
\$50,000

Research Conference Grants

Costas S. Spirou

Technology in Teaching and Learning in Higher Education: An International Conference

Social Science Department
National-Louis University
\$14,800

Sherry R. Turkle

Adolescence, Technology, and Identity Working Group

Program in Science, Technology, and Society
Massachusetts Institute of Technology
\$43,150

Jane Wellman and Thomas Ehrlich

Advisory Committee to the National Study of Uses and Alternatives to the Student Credit Hour

The Institute for Higher Education Policy
\$35,000

OTHER GRANTS

Clifford Adelman

Funding for the completion of the NELS88-2000 Postsecondary Transcript File American Association of Collegiate Registrars and Admissions Officers
\$10,900

Gregory Anrig and Richard D. Kahlenberg

Partial support for the project "Still Separate and Still Unequal: A Strategy for Giving Low-Income Students Greater Access to Middle-Class Schools"
The Century Foundation
\$50,000

Randall R. Curren

A Companion to the Philosophy of Education
University of Rochester
\$50,000

Michelle Fine

Support for the production of a curriculum guide on the use of "oral history" as pedagogical strategy
Graduate School and University Center
City University of New York
\$4,400

Eugene E. Garcia

Support for a memorial event for Ann L. Brown
University of California, Berkeley
\$10,000

Elizabeth Hollander

National Initiatives for Advancing Higher Education Service-Learning Research
Brown University
\$50,000

Henry C. Kelly

International Learning Technology Project
Federation of American Scientists Fund
\$60,000

George E. Lowery

Faculty and Development and Research Training at the College of Education at Roosevelt University
Roosevelt University
\$50,000

Sheila O'Grady

Support for the Reading Round Table Initiative
City of Chicago
\$8,250

Gary Orfield and Christopher Edley

"The Civil Rights Project at Harvard"
Harvard University
\$50,000

Mastin Prinsloo

Support for a conference entitled, "Literacy and Language in Global and Local Settings: New Directions for Research and Teaching"
University of Cape Town
South Africa
\$30,000

Edward F. Redish

Support for the production of year three of the supplementary issues of the American Journal of Physics devoted to physics education research
American Association of Physics Teachers
\$24,000

William L. Taylor

Citizens' Commission on Civil Rights Program Plan for Research and Monitoring Title I Statute for Poor and Minority Children
Citizens Commission on Civil Rights
\$50,000

Sharon L. Weinberg

Support for a seminar entitled, "Identifying Challenges to Educational Opportunity: An Invitation to Contemporary Educational Research"
New York University
\$35,000

William Julius Wilson

Smart Library on Urban Poverty
Harvard University
\$15,000

DISSEMINATION GRANTS

Virginia Edwards

Support for Research Reporting in Education Week and Teacher Magazine
Editorial Projects in Education
\$431,400 over three years

PHILANTHROPIC GRANTS

Council on Foundations

\$39,600

The Foundation Center

\$55,000

The Philanthropy Roundtable

\$3,000

Donors Forum of Chicago

\$17,820

Independent Sector

\$10,500

**Tides Center/Grantmakers for
Education**

\$3,000

EDUCATION-JOURNALISM FELLOWSHIP GRANTS

Charles Eisendrath

Michigan Journalism Fellows

University of Michigan

\$70,000

GRANTEE PUBLICATIONS RECEIVED

Jody Bart

Women Succeeding in the Sciences: Theories and Practices Across Disciplines
Purdue University Press
West Lafayette, Indiana, 2000

Paul Bloom

How Children Learn the Meanings of Words
The MIT Press
Cambridge, Massachusetts, 2000

Daniel Chazan

Beyond Formulas in Mathematics and Teaching: Dynamics of the High School Algebra Classroom
Teachers College Press
Columbia University
New York, New York, 2000

Sara A. Curtis

Educating the Faithful: Religion, Schooling, and Society in Nineteenth-Century France
Northern Illinois University Press
DeKalb, Illinois, 2000

Andrea deSessa

Changing Minds: Computers, Learning, and Literacy
The MIT Press
Cambridge, Massachusetts, 2000

John Aubrey Douglas

The California Idea and American Higher Education: 1850 to the 1960 Master Plan
Stanford University Press
Stanford, California, 2000

Roger Geiger, Ed.

The American College in the Nineteenth Century
Vanderbilt University Press
Nashville, Tennessee, 2000

Amy Gutman, Ed.

What Should We Value? A Decade of Questions: Celebrating the Tenth Anniversary of the University Center for Human Development
University Center for Human Development
Princeton University
Princeton, New Jersey, 2000

Richard D. Kahlenberg

All Together Now: Creating Middle-Class Schools through Public School Choice
Brookings Institution Press
Washington, D.C., 2001

Richard Kern

Literacy and Language Teaching
Oxford University Press
New York, New York, 2000

Ellen Condliffe Lagemann

An Elusive Science: The Troubling History of Education Research
The University of Chicago Press
Chicago, Illinois, 2000

James G. March

The Pursuit of Organizational Behavior
Blackwell Publishers Inc.
Malden, Massachusetts, 1999

Lorraine M. McDonnell, P. Michael Timpane, and Roger Benjamin

Rediscovering the Democratic Purposes of Education
University Press of Kansas
Lawrence, Kansas, 2000

Michael Mintrom

Policy Entrepreneurs and School Choice
Georgetown University Press
Washington, D.C., 2000

Margaret A.M. Murray

Women Becoming Mathematicians: Creating a Professional Identity in Post-World War II America
The MIT Press
Cambridge, Massachusetts, 2000

Martin Packer

Changing Classes: School Reform and the New Economy
Cambridge University Press
New York, New York, 2000

Christine C. Pappas and Liliana Barro Zecker, Eds.

Teacher Inquiries in Literacy Teacher-Learning: Learning to Collaborate in Elementary Urban Classrooms
Lawrence Erlbaum Associates, Publishers
Mahwah, New Jersey, 2001

Christine C. Pappas and Liliana Barro Zecker, Eds.

Transforming Literacy Curriculum Genres: Working With Teacher Researchers in Urban Classrooms
Lawrence Erlbaum Associates, Publishers
Mahwah, New Jersey, 2001

Alan Peshkin

Permissible Advantage? The Moral Consequences of Elite Schooling
Lawrence Erlbaum Associates, Publishers
Mahwah, New Jersey, 2001

Katherine Brown Rosier

Mothering Inner City Children: The Early School Years
Rutgers University Press
New Brunswick, New Jersey, 2000

Rosemary C. Salomone

Visions of Schooling: Conscience, Community, and Common Education
Yale University Press
New Haven, Connecticut, 2000

Kathleen Weiler

Country Schoolwomen: Teaching in Rural California, 1850-1950
Stanford University Press
Stanford, California, 1998

Lois Weis and Michelle Fine, Eds.

Construction Sites: Excavating Race, Class, and Gender Among Urban Youth
Teachers College Press
Columbia University
New York, New York, 2000

Lois Weis and Michelle Fine, Eds.

Speed Bumps: A Student-Friendly Guide to Qualitative Research
Teachers College Press
Columbia University
New York, New York, 2000

Sam Wineburg and Pam Grossman, Eds.

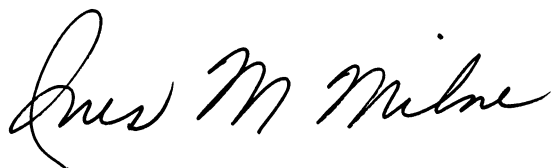
Interdisciplinary Curriculum: Challenges to Implementation
Teachers College Press
Columbia University
New York, New York, 2000

REPORT OF THE TREASURER

Ines M. Milne

On March 31, 2001, the assets of the Spencer Foundation totaled \$432.4 million. These assets were invested primarily in equities actively managed by Cedarpoint Capital Management, Inc., New York; and in S&P 500 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, 2001 has authorized grants and fellowships of \$295.3 million, of which \$43.7 million remains payable in future fiscal years. During the 2001 fiscal year, the Foundation made payments on grants and fellowships totaling \$26.9 million, and the Board of Directors anticipates making grants at the same or slightly lower level through the 2002 fiscal year. The audited financial statements of the Spencer Foundation begin on page 49.



Ines M. Milne
Treasurer

Independent Auditor's 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, 2001 and 2000, and the related statements of activities and of 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, 2001 and 2000, 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.

Deloitte & Touche LLP

May 15, 2001

STATEMENTS OF FINANCIAL POSITION
MARCH 31, 2001 AND 2000

(Thousands of Dollars)

	2001	2000
ASSETS:		
Investments , at quoted market value (cost: 2001-\$247,418; 2000-\$254,843) (Note 3)	\$392,228	\$588,235
Cash (including funds held by investment custodians: 2001 - \$33,261; 2000 - \$2,770)	35,006	3,509
Other assets:		
Receivable from broker	3,825	112
Accrued interest and dividends	177	150
Other	1,182	1,330
Total assets	432,418	593,336
LIABILITIES:		
Grants payable (Note 5)	43,661	23,360
Payable to brokers	2,992	442
Accounts payable and accrued expenses	88	69
Total liabilities	46,741	23,871
UNRESTRICTED NET ASSETS (Note 6)	\$385,677	\$569,465

See notes to financial statements.

STATEMENTS OF ACTIVITIES
YEARS ENDED MARCH 31, 2001 AND 2000

(Thousands of Dollars)

	2001	2000
REVENUE AND GAINS:		
Dividends	\$5,527	\$6,145
Interest	879	268
Realized gains, net	51,468	56,623
Change in unrealized gains, net	(188,581)	19,872
Total revenue and (losses) gains	(130,707)	82,908
GRANTS AND OTHER EXPENSES:		
Grants authorized (Note 5)	47,091	24,470
Administrative expenses	4,157	3,674
Investment services	805	917
Excise taxes (Note 4)	1,028	519
Total grants and other expenses	53,081	29,580
CHANGE IN NET ASSETS	(183,788)	53,328
UNRESTRICTED NET ASSETS - Beginning of year	569,465	516,137
UNRESTRICTED NET ASSETS - End of year	\$385,677	\$569,465

See notes to financial statements.

STATEMENTS OF CASH FLOWS
YEARS ENDED MARCH 31, 2001 AND 2000

(Thousands of Dollars)

	2001	2000
CASH FLOWS FROM OPERATING ACTIVITIES:		
Change in net assets	\$(183,788)	\$53,328
Adjustments to reconcile change in net assets to net cash flows from operating activities:		
Gain on sale of investments, net	(51,444)	(56,623)
Decrease (increase) in unrealized gain on investments, net	188,581	(19,872)
Depreciation	208	209
Changes in assets and liabilities:		
Accrued interest and dividends	(27)	56
Other assets	(3,709)	(121)
Grants payable	20,301	(1,859)
Payable to brokers	2,550	222
Accounts payable and accrued expenses	19	23
	<hr/>	<hr/>
Net cash flows from operating activities	(27,309)	(24,637)
CASH FLOWS FROM INVESTING ACTIVITIES:		
Purchases of investments	(70,683)	(73,856)
Proceeds from sales of investments	129,553	101,109
Capital expenditures	(64)	(566)
	<hr/>	<hr/>
Net cash flows from investing activities	58,806	26,687
<hr/>		
INCREASE IN CASH	31,497	2,050
CASH - Beginning of year	3,509	1,459
	<hr/>	<hr/>
CASH - End of year	\$35,006	\$3,509
	<hr/> <hr/>	<hr/> <hr/>

See notes to financial statements.

**NOTES TO FINANCIAL STATEMENTS
YEARS ENDED MARCH 31, 2001 AND 2000**

(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 accounting principles generally accepted in the United States of America 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 grantee.

Reclassifications - Certain 2000 balances have been reclassified to conform with the 2001 presentation.

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. Dividends and interest income are recorded on the accrual basis.

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

	2001		2000	
	Cost	Market Value	Cost	Market Value
Index funds			\$143,501	\$262,308
Common stocks			101,949	130,177
Real estate funds			1,968	1,895
Total			<u>247,418</u>	<u>394,380</u>
Deferred federal excise tax			(2,152)	(5,896)
Total			<u>\$392,228</u>	<u>\$588,235</u>

4. TAXES

Excise Tax - The Foundation qualifies as a private foundation and, as a result, is subject to a federal excise tax of two percent on net investment income, as defined. If the average payout ratio for the past five years plus one percent of net investment income in the current year, as defined, is less than the current year's charitable distributions, federal excise tax is payable at one percent of net investment income, as defined. The Foundation paid federal excise tax of one percent in each of the years ended March 31, 2001 and 2000.

The quoted market value of investments was reduced by \$2,152 and \$5,896 at March 31, 2001 and 2000, 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, 2001, payable as follows:

Fiscal Year Ending March 31	Amount
2002	\$18,125
2003	11,349
2004	6,667
2005	3,763
2006	2,107
Thereafter	1,650
Total	<u>\$43,661</u>

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 operating lease commenced May 1, 1999 and 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 \$461 and \$557 for the years ended March 31, 2001 and 2000, respectively, of which \$422 in 2000 related to the new sublease.

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

Fiscal Year Ending March 31	Amount
2002	\$442
2003	450
2004	458
2005	465
2006	473
Thereafter	1,299
Total	<u>\$3,587</u>

6. UNRESTRICTED NET ASSETS

Unrestricted net assets are composed of the following amounts:

<u>Fiscal Year Ending March 31</u>	<u>2001</u>	<u>2000</u>
Principal	\$82,203	\$82,203
Cumulative excess of grants and other expenses over revenue (cumulative grants authorized of \$295,321 at March 31, 2001)	(189,334)	(142,660)
Cumulative net realized gains on sales of investments	347,998	296,530
Unrealized gains in investment portfolio	144,810	333,392
Total	<u><u>\$385,677</u></u>	<u><u>\$569,465</u></u>

6. 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 \$282 and \$202 in 2001 and 2000, respectively. The Foundation funds its pension costs on a current basis in accordance with TIAA-CREF requirements.