# THE SPENCER FOUNDATION

## Annual Report

for the year ended March 31, 1998

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NOTE: The current members of the Foundation’s Board of Directors, review committees, and staff, as well as updates of the information in this Annual Report, can be found at the Spencer Foundation Web Site, http://www.spencer.org. Additionally, this site permits downloading of the Foundation’s 25th Anniversary Annual Report (1996), the current year’s Annual Report, and select updates to Spencer program information.
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1 beginning August 1998
2 through August 1998
3 through June 1998
Lyle M. Spencer
1911-1968

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

Lyle Spencer established the foundation that bears his name in 1962, with the mandate of investigating ways in which education, broadly conceived, might be improved around the world. The Foundation received its major endowment in 1968 following the founder’s death. Since that time, it has authorized grants totaling approximately $201.7 million. Its assets as of March 31, 1998, were $494 million.
THE PRESIDENT'S COMMENTS
Patricia Albjerg Graham

As our 1998 fiscal year ended on March 31, we at the Spencer Foundation realized that the assets of the Foundation have essentially doubled in the last three years. After a period of relative stability during the previous decade from the mideighties to the mid-nineties, when the assets fluctuated between $200 million and $250 million, they surged to $494 million at the close of this fiscal year and to $510 million at the date of our June 1998 Board meeting.

Nearly all the Spencer assets are invested in equities, approximately 80 percent of which are in U.S. stocks, divided between an active manager (Cedarpoint Capital Management, Inc.) and a Standard and Poor 500 indexed fund. The remaining 20 percent are in an international indexed fund, that excludes Japanese investments. This allocation of our assets to equities, a decision recommended by our Finance and Audit Committee and voted by our Board, is unusual for foundations, most of which have more diversified investment strategies. Our Board believes that, over the long-term, investment in equities brings the highest returns. We also recognize, of course, that such an investment strategy makes the Foundation's assets subject to much more volatility than would be the case if funds were invested in a broader mix of bonds and government securities. Our Board's judgment remains that the risk of volatility is acceptable for a foundation that has low fixed costs and can adjust its grant making to accommodate such changes in assets.

Historically, in the 1970s, the Spencer Foundation experienced considerable change in its assets when inflation was high, and the value of the endowment decreased in purchasing power. Hence, we are well aware that the current high watermark for our endowment cannot be assumed to be permanent. It may well drop or it may remain stationary or increase. Our planning for the Foundation's programs must encompass all three possibilities: declining, static, or increased assets.

Such planning for uncertainty presents a challenge to Board and staff. Federal tax regulations regarding foundations such as ours require that 5 percent of the annual average of assets be distributed each year. Thus, we have had to consider ways in which to spend our increased resources consistent with the knowledge that they may or may not continue to grow. Programmatic commitments, as well as administrative costs, must remain flexible to adjust to changing fiscal realities. Those constraints have led us to clarify the assumptions underlying our programmatic decisions. Seven principles guide our programmatic decisions.

The Spencer Foundation:

1. supports research related to education of the highest quality we can identify;
2. develops a community of researchers committed to understanding and improving education;
3. focuses attention and support upon junior scholars;
4. seeks ways of learning from educational practice;
5. assists the public in recognizing what research about education reveals;
6. encourages scholars, researchers, and other knowledgeable individuals to propose research projects to us rather than issuing requests for proposals; and
7. seeks opportunities to provide support for worthy educational ventures in our home city of Chicago.

The application of these principles to programmatic decisions demands two kinds of decisions: 1) devising means by which programs could be expanded or shrunk depending on changes in our assets, a process we have come to term an “accordion-like quality” of our grant making; and 2) determining which programs to maintain in existing fashion, which to expand, which to delete, and which new ones to begin.

The consequences of these decisions are found in the Report of the Vice President following my comments in this document. Here, however, I would like to include some observations about how we came to the conclusions that John Williams reports.

We have organized our activities into three main divisions: Research Grants Programs, under the leadership of Rebecca Barr, which include both our traditional Major Research Grants Program as well as our Small Research Grants Program; Fellowship Programs, under the leadership of Catherine A. Lacey; and Training Programs, under the leadership of Lauren Jones Young.

Both the Major and Small Research Grants Programs are intended to support scholarly work, frequently salary costs for researchers to concentrate upon their investigations to the exclusion of other obligations. Both rely upon the researcher to define the question to be addressed and the means by which the investigation will be conducted. In determining whether to award the grant, we rely heavily on advisory committees and individual peer review. As a foundation, we do not have priorities for funding but rely on the research community to propose to us their most compelling questions about education throughout the life span, both in the U.S. and abroad.

The Small Research Grants Program has now raised its maximum grant from $12,000 to $35,000. This increase is intended to allow junior faculty members, particularly, to buy themselves out of a term of teaching in order to devote full time to their research. Such concentration upon research, we believe, is generally necessary to produce quality work. Too often faculty attempt to fit preparation of a scholarly paper into the interstices of academic life, between teaching classes, counseling students, and attending meetings on or off campus. Most of us cannot generate fundamental new ideas in such circumstances. Most need time to concentrate upon the ideas we are attempting to formulate and to explain. Lacking such time, some simply restate and repackage previously enunciated ideas and send them off to a journal in order to acquire another publication and an additional item for the resume. Some journals are short of submissions and accept these pieces. Such work does not significantly advance knowledge about education. Our effort is to provide funds to buy the time to think deeply and to write profoundly about education.

The fellowships, principally the Dissertation Fellowships administered by Foundation staff, as well as the Postdoctoral Fellowships administered by the National Academy of Education and the graduate student fellowships administered by the American Educational Research Association, all rely on the fellows to propose the topic of research on which they wish to work, to justify its significance, and to present the means by which they will investigate it. These fellowships, as do major grants, rely on investigators to advance scholarship about
education by choosing their own subject and the best means of analyzing it. These awards, of course, are aimed at beginning scholars, ones just completing or having completed their graduate work. They are one of our most important ways of supporting a new generation of researchers in education. By administering the Dissertation Fellowships within the Foundation, by using a selection committee of distinguished researchers to help us choose the new cohort of fellows each year, and by gathering the fellows together for various seminars, we maintain a close connection with the world of educational researchers and the concerns that affect them.

The training division is our other primary link to junior scholars. Its chief activity is overseeing the research training grants now funded at ten different universities (University of California at Berkeley and at Los Angeles, Harvard, Michigan, Michigan State, Northwestern, Pennsylvania, Stanford, Teachers College Columbia, and Wisconsin) to support doctoral research preparation in education. The distinction between the fellowships and the training divisions is the autonomy of the scholar in selecting the subject of investigation. In the fellowship programs scholars are free to choose the topic, but in the training division the students have a number of research choices made for them, typically by their university’s doctoral requirements. Another program within the training division is the pilot effort for senior and junior researchers to engage in research on school reform.

Each of these programs has certain accordion-like qualities: the number of major grants awarded can be increased or decreased as can the number of fellowships, the number of research training grant awards, mentors or fellowships in evaluation, or research on school reform. Some commitments, e.g. the small grants and fellowships, are of short duration (one year) while some, e.g. major grants and research training grants, are multi-year. We expect more growth in the short duration awards than the long ones, enabling us to contract our commitments if need be. We also plan to continue to rely heavily on outside advisory committees to help us in our selections rather than significantly increasing permanent staff, both because we believe in the strength and diversity of outside committees and because we wish to limit our own administrative growth.

In order to plan for growth, should that be necessary, we have inaugurated a Research Conference Grant Program through which we hope to support groups either organized by others or by us to come together to discuss and plan research on different topics. We hope these meetings will be a stimulus to better research proposals within all our programmatic areas. We also hope they will be a means of identifying able scholars not presently well acquainted with the dominant educational research community and encouraging them to participate within it. We are especially eager to include non-U.S. researchers of education in these meetings.

Another attempt to identify gifted persons not presently engaged in research that we fund is our effort to identify individuals in the southern part of the U.S., where we have very few grants. By Fall, we will have had a series of meetings in Georgia, North Carolina, Tennessee, and Virginia with scholars to learn about their interests and needs. We are also providing funds to three of the national journalism fellowship programs (Harvard, Michigan, and Stanford) for support for fellows they choose who wish to learn more about education to
enhance their reporting. We believe this may contribute to better public understanding of education and the research that informs it.

We remain committed to a deeper understanding of educational practice. The best means of gaining such understanding remains one of the two or three principal topics for discussion at each annual policy meeting of our Board in October. We do not expect to come to an immediate and ultimate answer, but we do anticipate continuing our efforts in this domain. Our joint project with the John D. and Catherine T. MacArthur Foundation on research on professional development of school staffs ends this December, and we hope during the coming year to synthesize what we have learned from this initiative. Our nascent effort of research at school reform sites is another attempt to increase our understanding of just what is going on in the practice of education under the rubric of reform. Throughout our fellowship programs and increasingly in our grants programs we are seeing increased interest in trying to understand the puzzles of practice and the difficulty of finding satisfying means of analysis. We expect to continue to persevere in this realm, difficult as it is, because it is so important.

Finally, we remain deeply committed to our home city of Chicago and its educational needs. We were saddened by the action this year at the University of Chicago to close its Department of Education, an academic unit that has prepared a number of distinguished scholars in education and has been the academic home for many others. We await with interest the University’s decision about how to maintain its distinguished tradition in the field of education. School reform remains a matter of intense discussion and action in the metropolitan area of Chicago, and we continue to support a number of activities related to it. It has now been a decade since the fundamental legislative change in Illinois mandating local school councils, and current reports from elementary schools indicate positive gains for many children in academic learning. High school progress remains more elusive. Nonetheless, we continue to support reform efforts in Chicago, recognizing that success is slow. Public commitment to improving education rests in large part on the ability of the educational research and practitioner community to demonstrate the importance of education in children’s lives and the capacity of communities, families, and schools to educate their children better. We support that endeavor.

Patricia Albjerg Graham
President
Over the course of the 1997-98 fiscal year, Spencer grant and fellowship programs supported substantial research on a wide variety of topics and training in a wide variety of fields. A subsequent section of the Annual Report provides a detailed description of this work.

What may be unclear from demographic data depicting Foundation operations is that exciting changes in the scope of Foundation grant making characterized the 1998 fiscal year. Several expansions of Foundation activities took place or were planned, enabling the Foundation to increase its contribution to education and to set the stage for excitement over the next few years as new staff arrive and the effects of new programs and program expansions begin to emerge.

After a period of careful review and deliberation at two meetings, the Board of Directors authorized expansion of the Small Research Grants Program, planning and inauguration of a new Research Conference Grant Program, selection and designation of additional Research Training Grants, expansion of the Dissertation Fellowship Program, creation of a research program on the practice of education, and organization of planned efforts to expand grant making in selected regions of the nation where scholars have previously participated on a limited basis in Spencer programs. The relatively small staff of the Foundation will be modestly increased to accommodate its expanding programs.

Expansion of the Small Research Grants Program increased the maximum allowable award from $12,000 to $35,000 toward the goal of allowing junior scholars to formulate and begin to undertake personal research agendas in education. The new Research Conference Grant Program will allow members of the education research community to meet and discuss important topics within education toward the goals of identifying research agendas, codifying recent research findings, or undertaking research in unexplored areas. Adding additional Research Training Grant institutions to the ten currently funded expands financial support of promising new researchers and extends conversation with the academic community about the training needed to produce new scholars. Dissertation fellowships were increased to $20,000 per recipient to accommodate recipients’ increased tuition, living, and opportunity costs. In order to expand research aimed at assisting practitioners with the difficult challenges of restructuring public education, the research on practice initiative will involve teams of researchers at a single site developing with practitioners a research agenda and then together undertaking projects dealing with problems of reorganizing and improving teaching and learning. And strategies are being devised to increase participation from the education community in southern states in Spencer grant and fellowship programs. These range from simply disseminating more information about the Foundation to funding collaboratives of southern researchers on selected education topics.

To meet the challenge of expanded programming, the Foundation has expanded its program staff. We are fortunate to have hired Senior Program Officer Lauren Jones Young, Associate Professor of Education at Michigan State University, and Associate Program Officer Ramona Thomas, recent Ph.D. recipient from the University of Pennsylvania, who have assumed new responsibilities at the Foundation. Unhappily for the Foundation, two of our
Associate Program Officers—Terri Pigott, who has run the Small Research Grants Program for the past two years, and Lisa Lattuca, who oversaw the Practitioner Research Communication and Mentoring Grants Program during the same period—have assumed faculty positions at Loyola University. Their contributions to the Foundation will be deeply missed.

The Foundation continues to profit from the wisdom and oversight of its Board of Directors. The mode of expansion apparent during 1997-98 has only been possible under guidance of the Board. Happily, over the years, the Foundation has also profited from a wide network of education researchers, and support from this group continues. Some serve actively on the many peer review committees upon which the Foundation depends, others attend conferences and meetings called to offer advice on operating the Foundation’s programs, and still others attend research conferences, mentor fellowship recipients, and not least of all conduct research that we are privileged to support. The names of those researchers who have assisted our grantmaking process through committee service are listed on page 3. Our grantees are listed on pages 18 through 36.

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

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

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

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

RESEARCH PROGRAMS

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

MAJOR RESEARCH GRANTS

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

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

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

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

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 and the new knowledge expected to result from it;
Application Information

- a concise summary of the research methodologies, modes of analysis, and/or instruments that the project will employ;
- a clear identification of the principal investigator(s) and a clear definition of the roles the principal investigator(s) and any supporting researcher(s) will play;
- 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:
- phone number(s) and/or fax number(s) where principal investigator(s) may be reached;
- the curriculum vitae of the principal investigator(s).

Inquiries and preliminary proposals are welcome at any time and should be addressed to: Vice President, The Spencer Foundation, 900 North Michigan Avenue, Suite 2800, Chicago, Illinois 60611-6525.

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 researchers and teachers 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 affiliated with a school district, a college or university, a research facility, or a cultural institution. They must also have an earned doctorate in an academic discipline or professional field and/or experience in the teaching profession.

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

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

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

The attachments should include:
- a one-paragraph summary of the project, written for the interested informed lay person;
- a detailed budget for the project;
- approval of the budget from the appropriate financial officer of the institution;
- a full curriculum vitae of the principal investigator(s);
- phone number(s) and/or fax number(s) where the researcher(s) may be reached.
Three copies of the proposal and attachments are requested. Please note that proposals that exceed 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. Proposals are welcome at any time and should be addressed to: Small Research Grants Program, The Spencer Foundation, 900 North Michigan Avenue, Suite 2800, Chicago, Illinois 60611-6525.

PROFESSIONAL DEVELOPMENT RESEARCH AND DOCUMENTATION PROGRAM

The Professional Development Research and Documentation Program, funded jointly by the John D. and Catherine T. MacArthur Foundation and the Spencer Foundation, is scheduled to complete its third and final year of grant making in December 1998. Final proposals were funded in September 1998. The Program was created to support research on the professional development of adults working in elementary and secondary schools. Through fiscal year 1997–98, grants had been given to support eighteen studies that examine proven professional development practices and policies at school, district, and state levels. Grants have been awarded for a maximum of $50,000 annually for up to three years.

Individuals or groups interested in pursuing grants for research on professional development can apply after Fall 1998 to the Small Research Grants or Major Research Grants programs at the following address: The Spencer Foundation, 900 North Michigan Avenue, Suite 2800, Chicago, Illinois 60611-6525.

PRACTITIONER RESEARCH COMMUNICATION AND MENTORING GRANTS

The Practitioner Research Communication and Mentoring Grants are intended to:

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

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

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

For Information. A brochure with more detailed information on funding priorities, eligibility, grant deadlines, and application procedures is available from the Foundation. Inquiries should be directed to: Practitioner Research Communication and Mentoring Program, The Spencer Foundation, 900 North Michigan Avenue, Suite 2800, Chicago, Illinois 60611-6525.

RESEARCH CONFERENCE GRANT PROGRAM

The Spencer Foundation Research Conference Grant Program supports forums where researchers and other educators engage in discussion of ongoing research projects, important new findings, areas for new research, improved methods for systematic inquiry into important education topics, and related subjects. Such forums are important for expanding and improving the conduct and contributions of education research and for sustaining the national and international research communities.

Funding Priorities. Conferences proposed for funding under the program should offer a
unique opportunity to focus upon an area of inquiry, to define needed research, and to promote multidisciplinary collaboration. Among the conference topics supported in the past by the Foundation are diversity in higher education; immigration and education; community colleges; apprenticeships and mentoring; school choice, law, and public policy; and school transformation.

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

Restrictions. Grants under the program may not exceed $50,000. A report, a book of readings, or a research agenda should be disseminated following the conference.

Application Procedure. Insofar as feasible, proposals that include all the information requested below will be acted upon within approximately three months of receipt by the Foundation. Proposals for support should take the form of a statement not exceeding 1,500 words in length (approximately five double-spaced pages) and should include the following information:

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

Attachments should include:
• a conference agenda;
• a detailed budget with approval from the appropriate financial officer of the institution agreeing to act as the fiscal agent of the grant;
• the full curriculum vitae of the conference organizer(s);
• phone, address, and fax numbers and e-mail addresses for conference organizer(s).

Three copies of the proposal and attachments are requested.

Inquiries and proposals are welcome at any time and should be addressed to: Research Conference Grant Program, The Spencer Foundation, 900 North Michigan Avenue, Suite 2800, Chicago, Illinois 60611-6525.

FELLOWSHIP PROGRAMS

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

DISSERTATION FELLOWSHIP PROGRAM FOR RESEARCH RELATED TO EDUCATION

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

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

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

**Awards and Conditions.** Approximately 30 non-renewable fellowships are awarded each year. In fiscal year 1997-98, recipients received $17,000 to support completion of the dissertation, an amount to be expended within two years and in accordance with the work plan provided by the candidate in the application. In addition, recipients participate in a series of forums designed to develop professional networks and support cross-disciplinary exchange. Fellows may not accept employment other than as described (if any) in the application nor may they accept other awards providing duplicate benefits without the written permission of the Program Officer.

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


**NATIONAL ACADEMY OF EDUCATION/SPENCER POSTDOCTORAL FELLOWSHIP**

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

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

**AERA/SPENCER RESEARCH TRAINING FELLOWSHIPS**

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

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

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

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

INVITATIONAL PROGRAMS

In addition to its regular grants and programs, the Spencer Foundation conducts three grant programs by invitation only. The Spencer Senior Scholars Program supports established scholars who are identified as being at the peak of their careers by their peers. Through the Research Training Grants Program, the Foundation makes a limited number of grants to schools of education to support the doctoral training of educational researchers. The Foundation awards grants through its Mentor Program to individual scholars with a strong record of mentoring doctoral students preparing for a career in educational research.

THE REVIEW PROCESS

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

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

NOTE: The current members of the Foundation’s Board of Directors, review committees and staff, as well as updates of the information in this Annual Report, can be found at the Spencer Foundation Web Site, http://www.spencer.org. Additionally, this site permits downloading of the Foundation’s 25th Anniversary Annual Report (1996), the current year’s Annual Report, and select updates to Spencer program information.
1998 GRANTS AUTHORIZED

The Spencer Foundation supports research and fellowships that give promise of yielding new knowledge leading to the improvement of education. This work is divided into two main categories: Research Programs and Fellowship Programs. Grants authorized under these programs during this year are listed on pages 18 through 31, and ongoing grants appear on pages 32 through 36.
MAJOR RESEARCH GRANTS

Karl L. Alexander and Doris R. Entwistle
*The Transition to Adulthood Among Urban Youth*
Department of Sociology
Johns Hopkins University
$380,240 over three years

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

Deborah Loewenberg Ball
*Crossing Boundaries: Probing the Interplay of Mathematics and Pedagogy in Elementary Teaching*
School of Education
University of Michigan
$302,000 over three years

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

Peter Blatchford and Anthony D. Pellegrini
*Playground Games: Their Social Context in Elementary/Junior School*
Institute of Education
University of London, United Kingdom
$170,600 over eighteen months

Judith L. Green and Carol N. Dixon
*Constructing Access to Learning Across Content Areas in Bilingual Classrooms*
Department of Education
University of California, Santa Barbara
$335,000 over three years

James G. Greeno
*Learning to Use and Understand Concepts During Project-Based Activity*
School of Education
Stanford University
$450,500 over three years

Andrew Hargreaves and Ivor F. Goodson
*Change Over Time? A Study of Culture, Structure, Time, and Change in Secondary Schooling*
Ontario Institute for Studies in Education
University of Toronto, Canada/
Warner Graduate School of Education
University of Rochester
$374,600 over three years

Tom J. Luster
*Factors Related to Early School Success Among Children Born to Teenage Mothers*
Department of Family and Child Ecology
Michigan State University
$326,100 over three years

David Myers and Paul E. Peterson
*An Evaluation of a Randomized Experiment on School Choice*
Corporation for the Advancement of Policy Evaluation
Planesboro, New Jersey
$300,000 over one year

Michael T. Nettles
*Understanding for Improvement: Finances, Experiences, and Achievements of Doctoral Students*
School of Education
University of Michigan
$390,300 over thirty-three months
<table>
<thead>
<tr>
<th>Small Research Grants</th>
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<tbody>
<tr>
<td>Anna Neumann</td>
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<td>Professors’ Learning</td>
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<td>and Scholarly Identity Development in the Early Post-Tenure Career</td>
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<td>College of Education</td>
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<tr>
<td>Michigan State University</td>
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<td>$279,000 over three years</td>
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</tbody>
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| Elinor Ochs and Lisa M. Capps |
| Autistic Children’s Narrative Interactions at School and Home |
| Department of TESL and Applied Linguistics |
| University of California, Los Angeles |
| $394,700 over three years |

| Patricia K. Phelan |
| Students’ Multiple Worlds: The Role of School-Based Health Clinics in Mediating Transitions Education Program |
| University of Washington |
| $292,000 over thirty months |

| David Nathan Plank and Gary Sykes |
| The Ecology of School Choice |
| College of Education |
| Michigan State University |
| $315,350 over three years |

| Julie A. Reuben |
| Questioning the Academy: The Impact of the Protest Movements of the 1960s on American Higher Education |
| Graduate School of Education |
| Harvard University |
| $268,000 over five years |

| Virginia Richardson and Gary D. Fenstermacher |
| Manner in Teaching |
| School of Education |
| University of Michigan |
| $380,900 over three years |

| Janet Schofield |
| The Internet in School: Problems and Possibilities |
| Learning Research and Development Center |
| University of Pittsburgh |
| $149,900 over two years |

| Peter Scott and David Smith |
| School of Education |
| University of Leeds, United Kingdom |
| $114,600 over nineteen months |

| Robert S. Siegler |
| Microgenetic Studies of Self-Explanations |
| Department of Psychology |
| Carnegie Mellon University |
| $286,800 over three years |

| Patricia A. Smiley |
| The Nature and Origins of Individual Differences in Achievement Motivation Among Preschoolers |
| Department of Psychology |
| Pomona College |
| $130,250 over three years |

| Michael S. Stinson and Barbara G. McKee |
| Speech Recognition as a Support Service for Deaf and Hard of Hearing Students: Adaptation and Evaluation |
| National Institute for the Deaf |
| Rochester Institute of Technology |
| $113,200 over two years |

| Julianne C. Turner and Carol Midgley |
| Avoidance Beliefs and Behaviors in Mathematics Before and After the Transition to Middle Level Schools: Classroom Influences |
| Department of Psychology |
| University of Notre Dame |
| $362,650 over four years |

**Inquiries regarding the Major Research Grants Program may be directed to: Vice President, The Spencer Foundation, 900 North Michigan Avenue, Suite 2800, Chicago, IL 60611-6525.**

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David Adams
**Coming of Age on the Southwest Frontier: A Tri-Cultural Study, 1890-1990**
Department of Curriculum and Foundations
Cleveland State University

Eurydice Bouchereau Bauer
**Code-Switching During Shared and Emergent Reading of a Bilingual Preschooler**
Department of Reading Education
University of Georgia

Julie A. Bianchini
**Toward Inclusive Science Education: Research on Faculty Development and Curricular Improvement at the Undergraduate Level**
Department of Education
University of California, Santa Barbara

Charles Bidwell
**Faculty Social Control and Student Achievement**
Department of Sociology
University of Chicago

John D. Bonvillian and Filip Loncke
**The Use of Signs and Gesture in Simultaneous Systems**
Department of Psychology
University of Virginia

Frank T. Burke
**An Operational Basis for John Dewey’s Theory of Inquiry**
Department of Philosophy
University of South Carolina - Columbia

Ruth Breckinridge Church
**Can Children Learn from Televised Speech and Gesture?**
Department of Psychology
Northeastern Illinois University

George J. Sefa Dei
**Rethinking Schooling and Education in the African Context**
Ontario Institute for Studies in Education
University of Toronto, Canada
Joan DelFattore  
*The Controversy Over Religious Speech in Public Schools*  
Department of English  
University of Delaware

Jack Dougherty  
*African-American School Reform Movements in the Urban North, 1930-1990*  
Department of Educational Policy Studies  
University of Wisconsin-Madison

Wayne K. Durrill  
*Leading Universities and the Industrial Revolution*  
Department of History  
University of Cincinnati

Anne Haas Dyson  
*The Role of Childhood Cultures in Early School Literacy*  
Graduate School of Education  
University of California, Berkeley

David Walter Galenson  
*Ethnicity and Nineteenth-Century School Attendance: A New Look*  
National Bureau of Economic Research

Josephine Goldsmith-Phillips  
*Articulatory-Motor Dysfunction in Children with Developmental Dyslexia*  
Department of Educational Psychology  
Rutgers, The State University of New Jersey

Thomas L. Good  
*An Analysis of Educational Programs in Charter Schools*  
Department of Educational Psychology  
University of Arizona

Steven R. Guberman  
*Informal Science Learning: Parent-Child Conversations in a Natural History Museum*  
School of Education  
University of Colorado at Boulder

Leslie Rupert Herrenkohl  
*Developing Intellectual Communities in Elementary Science Classrooms*  
Department of Educational Psychology  
University of Washington

C. Denise Johnson  
*The Effects of Electronic Dialoguing on Preservice Teachers’ Attitude and Use of Technology in a Reading Methods Course*  
Department of Childhood and Special Education  
University of Central Arkansas

Robert Kargon  
*Responding to Change: Science, Higher Education and America’s New Industrial Heartland, 1880-1915*  
Department of the History of Science  
Johns Hopkins University

Novella Z. Keith  
*Developing a Theory of Participation for Urban School Reform*  
College of Education  
Temple University

Bruce A. Kimball  
*Documentary History of Liberal Education, with Particular Attention to the 20th-Century United States*  
Graduate School of Education  
University of Rochester

Peter A. Konecný  
*Higher Education and Civic Identity in the Soviet Union, 1945-1964*  
Ottawa, Ontario, Canada

Anne Meis Knupfer  
*To Become Good, Self-Supporting Women: Delinquent Girls and Their Re-Education in Chicago, 1900-1935*  
Department of Educational Studies  
Purdue University

Deanna Kuhn  
*Investing in the Metacurriculum*  
Department of Developmental and Educational Psychology  
Teachers College, Columbia University

Luis M. Laosa  
*Children Who Migrate to the United States from Puerto Rico: Effects of School Segregation (Ethnic and Linguistic) on English-Language Acquisition Rate and Behavioral/Emotional Adaptation*  
Educational Testing Service  
Princeton, New Jersey

Peggy Levitt  
*Comparative and Historical Perspectives on Transnational Social Change*  
Sociology Department  
Wellesley College

David Louis  
*Talk About Math—Understanding Communities of Learners in a Mathematics Classroom*  
Jordan Middle School  
Palo Alto, California

Richard A. Meckel  
*History of the Urban School Hygiene Movement*  
American Civilization Department  
Brown University

Debra Mekos  
*Community Influences on the School Investment of Urban Adolescent Girls*  
Department of Maternal and Child Health  
Johns Hopkins University

Michael S. Neiberg  
*The Changing Nature of the Reserve Officers Training Corps Program from its Inception in 1916 to 1980*  
Department of History  
Carnegie Mellon University

Ageliki Nicolopoulou  
*Mobilizing the Untapped Potential of Peer-Group Practices in Preschool Settings to Promote the Narrative Development of Low-Income Children*  
Department of Psychology  
Lehigh University

Carla O’Connor  
*Through the Fire: Exploring the Educational Resilience of Black Women of Low-Income and Working Class Origins*  
School of Education  
University of Michigan

Timothy H. Parsons  
*Social Implications of Colonial Education and the African Boy Scout Movement in Angolophone, Africa, 1900-1970*  
Department of African and Afro-American Studies  
Washington University

Joel Perlmann  
*Schooling and Early Occupational Experiences of the Second Generation, 1990*  
Levy Economics Institute  
Bard College
Charles Richard Potts
Effects of Television Safety Messages on Children’s Physical Risk-taking and Hazard Identification
Department of Psychology
Oklahoma State University

Sean Fitzpatrick Reardon
Social Class and Community Differences in Patterns of Adolescent Drug Use and Its Consequences: Combining Survey Data with Ethnographic Description
Cambridge, Massachusetts

Sean Fitzpatrick Reardon
Patterns of Multi-Racial Diversity and Segregation in U.S. Schools
Graduate School of Education
Harvard University

Barbara Rienzo, James Button, and Kenneth Wald
The Politics of Innovation in Education: School-Based Health Care
Department of Health Science Education
University of Florida

Jacqueline McLeod Rogers
Interdisciplinary Knowledge Narratives: Intersecting Practice and Theory
Centre for Academic Writing
University of Winnipeg, Canada

Mike Rose
The Learning and Cognition of Skilled Work
Graduate School of Education and Information Studies
University of California, Los Angeles

Diane Salmon and Ruth Ann Freedman
Collaboration on Relational Literacy
Educational Psychology Department
National-Louis University

Gavriel Salomon
International Peace Education: Laying the Foundations for Systematic Scholarship
Faculty of Education
University of Haifa, Israel

Rosemary C. Salomone
Children’s Rights, Parents’ Rights and the Shifting Balance of School Governance
School of Law
St. John’s University, New York

Helen Schwartzman and Samuel F. Whalen
Ways Online: An Ethnography of Children’s Ways of Taking and Making Meaning in Cyberspace
Department of Anthropology
Northwestern University

Richard J. W. Selleck
Students and Teachers at the University of Melbourne, 1855-1939
Faculty of Education
Monash University, Australia

Janet Farrell Smith
A Sense of Community: Connecting Theory and Practice in Multicultural Education
Department of Philosophy
University of Massachusetts Boston

Michael W. Smith and William Connolly
Fostering Instructional Conversations about Poetry
Department of Learning and Teaching
Rutgers, The State University of New Jersey

Nancy J. Smith-Hefner
Education, Gender, and Cultural Adaptation Among Second Generation Khmer Americans
Department of English
University of Massachusetts Boston

Kaveri Subrahmanyam
A Cross-Linguistic Study of Children’s Acquisition of Object and Substance Words
Department of Child and Family Studies
California State University, Los Angeles

Wei Sun
Mathematics Curriculum for Pre-Service Teachers in the People’s Republic of China
Mathematics Department
Towson University

Sam Swope
Acquisition of Writing Skills Over Time
New York, New York

Valentina Tarasova
Comparative Study of the Systems of Humanities Education of Engineers in Russia and the United States
Moscow, Russia

Gail E. Thomas
Comparative Study of Historically Black Colleges and Universities in South Africa and the United States
University of the Western Cape, South Africa

Margaret A. Thomas
Universal Grammar and the History of Concepts of Second Language Learning
Slavic and Eastern Languages Department
Boston College

Thomas Thoč
Public School Privatization
Washington, DC

Maria Varelas, Stacy Wenzel, and Barbara Luster
Told Ya I’m Smart: Girls and Boys Constructing Scientific Knowledge in an Urban Classroom
Department of Curriculum and Instruction
University of Illinois at Chicago

William R. Veal
Block Schedule Inquiry: Implications for the Learning Community
Department of Curriculum and Instruction
Indiana University

James M. Wallace
Angelo Patri: Memoirs in Progress
Graduate School of Professional Studies
Lewis & Clark College

Lois Weiner
Urban Teacher Preparation
Department of Administration, Curriculum, and Instruction
Jersey City State College

Inquiries regarding the Small Research Grants Program may be directed to: Small Research Grants Program, The Spencer Foundation, 900 North Michigan Avenue, Suite 2800, Chicago, IL 60611-6525.
THE JOHN D. AND CATHERINE T. MACARTHUR FOUNDATION/SPENCER FOUNDATION PROFESSIONAL DEVELOPMENT RESEARCH AND DOCUMENTATION GRANTS

William Firestone
Learning in an Urban Professional Development School
Graduate School of Education
Rutgers, The State University of New Jersey
$148,100 over three years

Michael Fullan and Nancy Watson
The Role of the District: Alternative “Drivers” for Professional Development
Ontario Institute for Studies in Education
University of Toronto, Canada
$157,400 over three years

Cynthia Greenleaf and Ruth Schoenbach
Close Readings: A Study of Key Issues in the Use of Literacy Learning Cases for the Professional Development of Secondary Teachers
The HERALD Project
WestEd Regional Education Laboratory
San Francisco, California
$150,000 over three years

Pamela Grossman and Sam Wineburg
Studying a Community of Learners: A Department-Based Model of Professional Development
School of Education
University of Washington
$150,000 over three years

Judith Warren Little
Teachers’ Professional Development in the Context of Secondary School Reform
Graduate School of Education
University of California, Berkeley
$150,000 over three years

Douglas Noble
Work-Based Curriculum Professional Development
Cobblestone School
State University of New York at Genesee
$146,260 over three years

Alan Taylor and Kathleen Medina
Every Teacher an Historian
Area 3 History and Cultures Project
University of California, Davis
$149,850 over three years

Edward F. Tobia, Bruce Haslam, and Katrina Laguarda
School-Based Professional Development and Reform: The Work of San Antonio’s Instructional Guides
$150,000 over three years

The John D. and Catherine T. MacArthur Foundation/Spencer Foundation Professional Development Research and Documentation Program is administered by the Spencer Foundation. After September 1998, requests for support for research on professional development topics can be made to the Spencer Foundation’s Small Research Grants or Major Research Grants Programs, The Spencer Foundation, 900 North Michigan Avenue, Suite 2800, Chicago, IL 60611-6525.

PRACTITIONER RESEARCH COMMUNICATION AND MENTORING GRANTS

Christine A. Ashley and James Della Cioppa
Teaching for Transfer Across the Arts Project: An Investigation into How to Teach for Transfer in Music, Visual and Language Arts at the Elementary School Level
Rochester Memorial School
Rochester, Massachusetts
$15,000

Robert Baroz
Studying the Variety of Roles That Students and Teachers Are Expected to Play in the Process of Learning as a Result of a Mandated Curriculum
Write to Change, Inc.
Clemson, South Carolina
$15,000

Chris Benson
The Bread Loaf Rural Teacher Network Magazine
Write to Change, Inc.
Clemson, South Carolina
$14,965

Sheridan Blau
Teachers as Ethnographers of Their Own Practice: Creating Pathways to Interaction
Santa Barbara Classroom Discourse Group
Graduate School of Education
University of California, Santa Barbara
$14,950

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

Martial Dembele
Strengthening Research Mentoring and Capacity Building for an Existing Network
Ecole Nationale d’Administration et de Magistrature
Burkina Faso, West Africa
$14,675

Keith Gilyard and Nancy Hahn
Freezing the Frames: Using Video to Understand Our Classroom Teaching
The Odyssey Project
Writing Program
Syracuse University
$12,625

Judith V. Diamondstone
Building a Social Context for Teachers Researching the Teaching and Learning of Expository Writing
Graduate School of Education
Rutgers, The State University of New Jersey
$15,000

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

Celia Genishi, Susan Ellen Stires, and Donna Yung-Chan
Learning the Words of Our Language: Experience and Expansion in Pre-Kindergarten
Teachers College, Columbia University
$13,400
Marion Guerra  
Mentoring Teacher Research  
Partnerships: Crossing Bridges to Extend the Community  
Worcester Public Schools  
Worcester, Massachusetts  
$13,520

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

Debra LaFleur and Jenny Dyer  
How Do Conferences Assist Students in Becoming Better Writers?: An Investigation of Talk About Text  
Williamston Middle School  
Williamston, Michigan  
$12,000

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

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

Brenda Miller-Power and Ruth Shagoury Hubbard  
Toolbox: Classroom Inquiry Strategies and Techniques  
College of Education and Human Development  
University of Maine  
$14,975

Renee Moore  
Culturally Engaged Instruction  
The Bread Loaf School of English  
Middlebury College  
$15,000

Aida A. Nevarez-LaTorre  
Bilingual Teacher Research Forum  
Department of Curriculum Instruction and Technology  
Temple University  
$15,000

Georgia Nell Nigro and Carrie Burns  
Strengthening a Practitioner Research Community in Androscoggin County  
Department of Psychology  
Bates College  
$12,950

Michael Robinson and Gail Sklar  
What Happens to Teacher Practice and Student Learning When Teachers Within a Small Learning Community Take an Inquiry and/or Problem-Based Approach in Their Classrooms?  
Simon Gratz High School  
Philadelphia, Pennsylvania  
$14,500

Courtney Rogers  
Teacher Research in Schools  
Fairfax County Public Schools  
Falls Church, Virginia  
$14,980

Emily van Zee  
Inquiring into Science Learning and Teaching  
Science Teaching Center  
College of Education  
University of Maryland at College Park  
$15,000

Betsy Wice  
What Happens for Children, Practice and Curriculum When Teachers Inquire Together?  
The Prospect Archive and Center for Education and Research  
North Bennington, Vermont  
$15,000

Doris Williams-Smith  
Revisiting Reflective Practitioners’ Research: Launching Publications and Presentations Through Mentoring College of Education  
The University of New Orleans  
$15,000

Inquiries regarding the Practitioner Research Communication and Mentoring Grants Program may be directed to: Practitioner Research Communication and Mentoring Grants Program, The Spencer Foundation, 900 North Michigan Avenue, Suite 2800, Chicago, IL 60611-6525.
SPENCER DISSERTATION FELLOWS

Roberta Brawer
Modern Cosmology as a Cultural Contact Zone: An Ethnography of Research and Education in a Field of Physical Science
Program in Science, Technology and Society
Massachusetts Institute of Technology

Sibyll Carnochan
Deregulating Equity: A Case Study of Title I in Three Schools
Graduate School of Education and Information Studies
University of California, Los Angeles

Prudence Carter
Resistance in Education: The Interplay of Race, Ethnicity, Gender and Social Networks
Department of Sociology
Columbia University in the City of New York

Gilberto Conchas
An American High School and the Paradox of Racial Inequality: The Dialectics Between the Reproductive and Democratic Forces in Schooling
Department of Sociology
University of Michigan

Robert Culp
From 'New Culture' to 'New Life': Ideology and Practice in the Middle Schools of China’s Lower Yangzi Region, 1917-1937
Department of History
Cornell University

Regina Dell
Community College Students and Institutional Contexts: Bridging the Gap Between Structure and Agency in Theories of Social Reproduction
Department of Sociology
Northwestern University

Spencer Downing
What TV Taught: Children’s Television and Consumer Culture, 1947-1982
Department of History
University of North Carolina at Chapel Hill

Sibel Erduran
Supporting Growth of Chemical Knowledge in Learning Environments: A Discourse Analysis of Students’ Argumentation and Reasoning in Chemical Modeling
Peabody College
Vanderbilt University

Ayala Fader
Learning Difference: Moral Education in a Hasidic Community in Boro Park, Brooklyn
Department of Anthropology
New York University

Maria Teresa Fernandez Aceves
Class, Gender, and Power in Guadalajara: Political Mobilization of Women School Teachers, Textile, and Tortilla Workers, 1920-1940
Department of History
University of Illinois at Chicago

Danielle Ford
The Role of Text in Supporting and Extending First-Hand Investigations in Guided Inquiry Science
School of Education
University of Michigan

Kathleen Frydl
The G.I. Bill
Department of History
University of Michigan

Alix Gitelman
Accounting for Treatment Fidelity in Studies to Compare Education Interventions
Department of Statistics
Carnegie Mellon University

Kimberly Goyette
The College-Going Process: An Examination of the College Enrollment of Whites and Asian Americans in the United States
Department of Sociology
University of Michigan

Neil Heffernan
Intelligent Tutoring Systems Have Forgotten the Tutor: Adding a Cognitive Model of Human Tutors
Department of Computer Science
Carnegie Mellon University

Andrew Izsak
Inscribing the Winch: How Students Derive Algebraic Representations of the Physical World
Graduate School of Education
University of California, Berkeley

Makeba Jones
Rethinking African American Students’ Agency: Meaningful Choices and Negotiating Meaning
Graduate School of Education and Information Studies
University of California, Los Angeles

Diana Joseph
Passion as a Driver for Learning: A Framework for the Design of Interest-Based Curricula
School of Education and Social Policy
Northwestern University

Galén Joseph
Civilizing the Nation: Education, Race and Democracy in Buenos Aires, Argentina
Department of Anthropology
University of California, Santa Cruz

Michael Kamen
American Biblical Scholarship and the Victorian Crisis of Faith
Department of History
University of Notre Dame

Judith Ann Li
Examining the Effects of Federal Financial Aid on College Tuitions: A Study of Pell Grants
Department of Economics
Harvard University

Valinda Littlefield
‘I Am Only One, But I Am One’: Southern African-American Female Schoolteachers, 1884-1954
Department of History
University of Illinois at Urbana-Champaign

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

Julia Mickenberg
Program in American Studies
University of Minnesota

Stephen Morgan
Educational Attainment and the Bayesian Dynamics of Expectation Formation
Department of Sociology
Harvard University

Michele S. Moses
In Defense of Race-Conscious Educational Policy and Practice
School of Education
University of Colorado at Boulder

Ruth Curran Neild
Choosing and Sorting: The High School Choice Process in Philadelphia
Department of Sociology
University of Pennsylvania
NATIONAL ACADEMY OF EDUCATION/SPENCER POSTDOCTORAL FELLOWS

Alfredo J. Artiles
Towards a Sociocultural Theory of Teacher Learning About Student Diversity
Graduate School of Education and Information Studies
University of California, Los Angeles

Richard B. Arum
The Causes of State Variation in Public School Disciplinary Practices
Department of Sociology
University of Arizona

Dwight S. Atkinson
“Sometimes I Know I Can Never Learn English”: English Education Among Disadvantaged Groups in Gujarat, India
Department of English
Auburn University

Brigid J. S. Barron
Groups: An Analysis of Conversations Among High Achieving Sixth Graders Working Within a Video-Based Microworld
School of Education
Stanford University

Ming M. Chiu
Evaluating Group Work Processes: Introducing a New Methodological Tool
Graduate School of Education and Information Studies
University of California, Los Angeles

Pamela E. Dean
Covert Curriculum: Class, Gender, and Student Culture at a New South Woman’s College, 1892-1932
Williams Center for Oral History
Louisiana State University

Evelyn Margaret Evans
Confronting the Existential Question: The Emergence of an Understanding of Existence and Non-Existence in Elementary-School Children
Department of Psychology
University of Toledo

Maria E. Franquiz
Informing Reform Efforts: Latino Students and the (Re)Construction of Academic Identity
School of Education
University of Colorado at Boulder

Steven R. Guberman
Working on Understanding: Peer Conversation in a Children’s Discovery Center
School of Education
University of Colorado at Boulder

Gretchen W. Guiton
Connecting Large-Scale Assessment with Local Opportunity to Learn Indications in Urban Schools
School of Education
University of Southern California

Rochelle Gutierrez
Advancing Latina/o High School Students in Mathematics: Practices, Beliefs, and Consequences of an Effective Mathematics Department
College of Education
University of Illinois at Urbana-Champaign

Grace Kao
Family Influences on the Educational Outcomes of Immigrant Youth
Department of Sociology
University of Pennsylvania

Gregory J. Kelly
Discourse and Epistemology in Science Education
Graduate School of Education
University of California, Santa Barbara

Paul C. LePore
Choosing Your Alma Mater: A Discrete Choice Model of High School Selection
Department of Sociology
University of Washington

Gerald K. LeTendre
Emotional Choices: How Schools Affect the Educational Decisions of Young Adolescents and Their Families
College of Education
Pennsylvania State University
NAE/Spencer Postdoctoral Fellows

Xiaodong Lin
Effects of Peers, Cultures and Technologies on Students’ Self-Assessment
Peabody College
Vanderbilt University

Kathleen A. Mahoney
School of Education
Boston College

Danny B. Martin
Mathematics Socialization and Identity Among African Americans: A Multilevel Analysis of Community Forces, School Forces, and Individual Agency
Department of Mathematics
Contra Costa College

Rodney E. McNair
An International Study of the Development of Mathematics Learning Moments
Peabody College
Vanderbilt University

Karen E. Mundy
Educational Multilateralism in a Changing World Order
School of Education
Stanford University

Sheila E. Murray
Empirical Investigations of the Real Effects of Court-Mandated Reform: What Schools Do with More Resources
The James W. Martin School of Public Policy and Administration
University of Kentucky

Christine A. Ogren
The State Normal School Experience: A History
College of Education
University of South Florida

Frank Pajares
Girls, Boys, and Mathematics Self-Efficacy: Reappraising the Confidence Gap
Division of Educational Studies
Emory University

Jianping Shen
Traditionally and Alternatively Certified Teachers in Public Schools
College of Education
Western Michigan University

Richard N. Steinberg
Understanding Science: The Influence of Computers in College Physics
Department of Physics
University of Maryland at College Park

Armando I. Trujillo
“The Heart of the Community:” Cultivating Community and Student Success
Department of Bicultural and Bilingual Studies
University of Texas at San Antonio

Caroline Winterer
The Classics and the Transformation of American Higher Education, 1780-1900
Department of History
Northwestern University

Tatyana V. Yakhontova
Anglo-American and Slavic (Ukrainian, Russian) Research Genres: Linguistic, Intercultural, and Pedagogical Issues
Department of Foreign Languages
Lviv State University, Ukraine

The Spencer Postdoctoral Fellowship Program is administered by the National Academy of Education through a grant made in the 1998 fiscal year by the Spencer Foundation for $4,921,000 over three years. Inquiries may be directed to: National Academy of Education, School of Education, New York University, 726 Broadway, Suite 509, New York, NY 10003-6652.
SPENCER FELLOWS AT THE CENTER FOR ADVANCED STUDY IN THE BEHAVIORAL SCIENCES

Linda Darling-Hammond
Study of Teacher Preparation
Department of Curriculum and Teaching
Teachers College, Columbia University

Andrea A. diSessa
Research Concerns: Computational media and new literacies; theories of conceptual change
Graduate School of Education
University of California, Berkeley

Richard M. Jaeger
Research Concerns: Implications of social and cognitive psychology for performance standards settings
School of Education
University of North Carolina at Greensboro

Gary W. Ladd
Research Concerns: Early transition and adaptation to school; precursors of psychopathology and school maladjustment during childhood
Department of Education
University of Illinois at Urbana-Champaign

Fellowship awards are administered by the Center for Advanced Studies in the Behavioral Sciences through a grant made in the 1994 fiscal year by the Spencer Foundation of $900,000 over five years for support of Fellows. Inquiries may be directed to Director, Center for the Advanced Study in the Behavioral Sciences, 75 Alta Road, Stanford, CA 94305-8090.
SPENCER SENIOR SCHOLARS

Ann L. Brown
Psychological Theory and Educational Reform: From the Committee of Ten to the Bush Initiatives
School of Education
University of California, Berkeley
$345,100
1992

Courtney B. Cazden
Writing Development and Instruction in the English-Writing World
Graduate School of Education
Harvard University
$300,000
1991

Michael Cole
Creating and Sustaining New Forms of Educational Activity in Community Settings
Department of Communication
University of California, San Diego
$350,000
1995

Linda Darling-Hammond
Developing Powerful Teaching
Department of Curriculum and Teaching
Teachers College, Columbia University
$350,000
1998

Carol Gilligan
The Psychology of Women and the Development of Girls
Graduate School of Education
Harvard University
$350,100
1990

Kenji Hakuta
Testing Key Hypotheses About Educating Language Minority Students
School of Education
Stanford University
$350,000
1998

Paul T. Hill
A Long-Term Inquiry into the Hidden Curricula of K-12 Schools
Institute for Public Policy and Management
University of Washington
$350,000
1994

Sara Lawrence-Lightfoot
Crossing Boundaries and Forging Relationships: The Art and Science of Portraiture
Graduate School of Education
Harvard University
$350,000
1995

James G. March
Organizational Learning
Graduate School of Business
Stanford University
$350,000
1995

Richard J. Murnane
Economic Analyses to Improve Education
Graduate School of Education
Harvard University
$350,000
1996

Alejandro Portes
Growing Up American: The Study of the New Second Generation
Department of Sociology
Princeton University
$365,600
1997

Lee S. Shulman
Toward a Pedagogy of Substance
School of Education
Stanford University
$350,000
1990

David Bruce Tyack
Purposes, Policies, and Politics in American Education
School of Education
Stanford University
$350,000
1996

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

RESEARCH TRAINING GRANTS

Graduate School of Education
Harvard University
Cambridge, Massachusetts

College of Education
Michigan State University
East Lansing, Michigan

School of Education
Stanford University
Stanford, California

Teachers College,
Columbia University
New York, New York

Graduate School of Education
University of California, Berkeley

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

School of Education
University of Michigan
Ann Arbor, Michigan

School of Education and Social Policy
Northwestern University
Evanston, Illinois

Graduate School of Education
University of Pennsylvania
Philadelphia, Pennsylvania

School of Education
University of Wisconsin-Madison
Madison, Wisconsin

The Research Training Grants Program supports research training in the field of education. In the 1997 fiscal year the Spencer Foundation made grants to nine institutions ranging from $900,000 to $2 million. In the 1998 fiscal year a tenth institution was added, bringing the total amount awarded to all institutions to $12 million.
AMERICAN EDUCATION RESEARCH ASSOCIATION/SPENCER DOCTORAL RESEARCH FELLOWS

Janeula M. Burt  
African American Identity Development: Toward the Development of a Contemporary Model  
Department of Educational Foundations, Leadership, and Technology  
Auburn University

Kevin M. Leander  
Communication, Community, and the (Un)Common: An Ethnographic Study of Discourses and Communities as Co-Constructed Activity in a Secondary School Setting  
Department of Curriculum and Instruction  
University of Illinois at Urbana-Champaign

Stephen J. Provasnik  
The Quest for Perfection: The Making of the School and the State  
History Department  
University of Chicago

Matthew D. Davis  
Herschel T. Manuel and Latino Educational Policy, 1925-1970  
Department of Curriculum and Instruction  
University of Texas at Austin

Herschel T. Manuel and Latino Educational Policy, 1925-1970  
Department of Curriculum and Instruction  
University of Texas at Austin

Lenora de la Luna  
Possibilities and Challenges of Collaborative Action Research in Classrooms  
Department of Curriculum and Instruction  
Purdue University

Kristen Renn  
Claiming Space: The College Experience of Biracial and Multiracial Students at Predominantly White Institutions  
Higher Education Department  
Boston College

Debra L. Holloway  
Arts Transforming Identity and Social Action for Working-Class Girls  
School of Education  
University of Texas at Austin

Cynthia Reyes  
Bicultural Identity of Latina Adolescents and Their Literacy Practices in the School  
Department of Education  
University of Illinois at Chicago

Tyrone Howard  
Culturally Relevant Pedagogy for African American Students  
Department of Curriculum and Instruction  
University of Colorado at Boulder

David Mayrowetz  
The Effects of Standards Reform and Assessment on Inclusive Education  
Department of Educational Theory, Policy and Administration  
Rutgers, The State University of New Jersey

Tzymei Alexasia Shi  
Against the Odds: College-bound Resilient Minority Adolescents  
College of Education  
University of Washington

Jennifer Merriman Bausmith  
Learning from Text and Graphics: The Effects of Prior Knowledge and Explicit Cuing  
Department of Instruction and Learning  
University of Pittsburgh

AMERICAN EDUCATIONAL RESEARCH ASSOCIATION/SPENCER DOCTORAL RESEARCH TRAVEL GRANTS

Angela K. Frusciante  
Teachers in Community, About Community and for Community: Creating Community-Action-Inquiry  
Department of Education Policy, Planning, and Administration  
University of Maryland at College Park

Patricia Marin  
Faculty Perspectives of Multi-Racial/Multi-Ethnic College Classrooms  
Department of Education Policy, Planning, and Administration  
University of Maryland at College Park

The American Educational Research Association/Spencer Doctoral Research Fellowship and Travel Grant Program is administered by the American Educational Research Association (AERA) through a grant of $1,250,000 made in the 1997 fiscal year by the Foundation. Inquiries may be directed to: AERA/Spencer Doctoral Research Fellowship Program, The American Educational Research Association, 1230 17th Street NW, Washington, DC 20036
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<thead>
<tr>
<th>Name</th>
<th>Department</th>
<th>Institution</th>
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<tbody>
<tr>
<td>James Anderson</td>
<td>Department of Educational Policy Studies</td>
<td>University of Illinois at Urbana-Champaign</td>
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<tr>
<td>Penelope D. Eckert</td>
<td>Department of Linguistics</td>
<td>Stanford University</td>
</tr>
<tr>
<td>Michelle Fine</td>
<td>Graduate School and University Center</td>
<td>City University of New York</td>
</tr>
<tr>
<td>James Paul Gee</td>
<td>Department of Curriculum and Instruction</td>
<td>University of Wisconsin-Madison</td>
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<tr>
<td>Susan Moore Johnson</td>
<td>Graduate School of Education</td>
<td>Harvard University</td>
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<tr>
<td>James T. Patterson</td>
<td>Department of History</td>
<td>Brown University</td>
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<tr>
<td>Mike Rose</td>
<td>Graduate School of Education and Information Studies</td>
<td>University of California, Los Angeles</td>
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<tr>
<td>John F. Witte</td>
<td>Department of Political Science</td>
<td>University of Wisconsin-Madison</td>
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Members of the Spencer Mentor Network receive, at the invitation of the Foundation, $50,000 over two years to support doctoral students engaged in research on educational issues.

*Awarded April 1998
## OTHER GRANTS

<table>
<thead>
<tr>
<th>Grant Recipient</th>
<th>Grant Description</th>
<th>Amount</th>
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<tbody>
<tr>
<td>Regina Cortina and Ariani Friedl</td>
<td>Conference Entitled “Gender and Education in Latin America” John Nuveen Center for International Affairs University of Illinois at Chicago</td>
<td>$20,000</td>
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<tr>
<td>Council on Foundations</td>
<td>Philanthropic Support</td>
<td>$34,600</td>
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<tr>
<td>Gary DeCoker and Thomas P. Rohlen</td>
<td>Conference on Japanese Textbooks and National Standards Department of Education Ohio Wesleyan University</td>
<td>$25,500</td>
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<tr>
<td>Donors Forum of Chicago</td>
<td>Philanthropic Support</td>
<td>$17,820</td>
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<tr>
<td>Virginia Edwards, Debra Viadero, and Ron Wolk</td>
<td>Support for Research Reporting in Education Week and Teacher Magazine Editorial Projects in Education</td>
<td>$291,800</td>
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<td>Kelly Graves-Desai</td>
<td>Dissemination of Education Research in The Harvard Education Letter</td>
<td>$40,000</td>
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<td>Harvard Education Letter Research Initiative</td>
<td>Increasing Our Impact on Schools Harvard Education Letter Harvard University</td>
<td>$285,300</td>
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<td>Chester Hartman</td>
<td>Publishing and Disseminating a Series of Studies Relevant to Issues of Educational Quality and Racial Integration of Schools Across the Nation Poverty &amp; Race Research Action Council</td>
<td>$20,500</td>
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<td>Independent Sector</td>
<td>Philanthropic Support</td>
<td>$10,250</td>
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<tr>
<td>Frank Kemerer and Stephen Sugarman</td>
<td>Symposium on School Choice, Law and Public Policy School of Law University of California, Berkeley</td>
<td>$40,000</td>
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<tr>
<td>Alan C. Kerckhoff</td>
<td>Comparative Educational Attainment Trajectories Department of Sociology Duke University</td>
<td>$25,000</td>
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<td>Linda Lenz</td>
<td>Support for “Catalyst: Voices of Chicago School Reform” Community Renewal Society</td>
<td>$120,000</td>
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<tr>
<td>Gene Maeroff</td>
<td>Seminar for Journalists Reporting on Educational Research Hechinger Institute on Education and the Media Teachers College, Columbia University</td>
<td>$30,000</td>
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<tr>
<td>Hugh Mehan and Marcia Venegas-Garcia</td>
<td>San Diego Area Writing Project Conference on Teacher Research Department of Sociology University of California, San Diego</td>
<td>$10,000</td>
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<tr>
<td>Kent D. Peterson</td>
<td>Partial Support for the Study Entitled “School Reconstitution: Early Lessons from the Field” Department of Educational Administration Roosevelt University</td>
<td>$6,000</td>
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<tr>
<td>Wendy D. Purifoy and Michelle E. Hynes</td>
<td>Support of a Research Task Force on a Project to Support Dissemination of Key Education Research Findings to Local Education Funds Public Education Network</td>
<td>$27,600</td>
</tr>
<tr>
<td>Laura R. Randall and Joan Brownell Anderson</td>
<td>Support for the University Seminar’s Program on the Primary Level Dropout Phenomenon in Latin America University Seminars Columbia University in the City of New York</td>
<td>$20,000</td>
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<tr>
<td>Ken Rolling</td>
<td>Support for an Evaluation Advisory Committee for the Chicago Annenberg Challenge Chicago Annenberg Challenge</td>
<td>$15,000</td>
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<tr>
<td>Peter Stearns, Peter Seixas, and Samuel Wineburg</td>
<td>Support of a Conference Entitled “Teaching and Learning as Epistemic Acts” American Historical Association</td>
<td>$25,000</td>
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<tr>
<td>William L. Taylor</td>
<td>Assessment of the Impact of Recent Changes in the Federal Title I Program on the Achievement Levels of Poor and Minority Students Citizens Commission on Civil Rights</td>
<td>$50,000</td>
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<td>Tides Center/Grantmakers for Education</td>
<td>Philanthropic Support</td>
<td>$3,000</td>
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<td>Nancy B. Tuma and Mikk Titma</td>
<td>Soviet Education and the Early Life Career Department of Sociology Stanford University</td>
<td>$28,000</td>
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<td>University of Chicago</td>
<td>Support of an Education Panel at the Challenge for Modern Democracy’s Conference Entitled “Educating Citizens and Experts in a Democracy: The Dual Role of Research Universities”</td>
<td>$13,550</td>
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</table>
GRANTS IN PROGRESS

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

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

Richard C. Anderson and William E. Nagy
Learning to Read Chinese: Effects of Metalinguistic Knowledge and Volume of Reading on the Acquisition of Literacy in a Non-Alphabetic Writing System
University of Illinois at Urbana-Champaign
$321,450 in 1997

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

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

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

Marjorie J. Beeghly and Edward Z. Tronick
Early Development of African-American Children: Factors Predicting Cognitive Competence and Adjustment
Child Development Unit
Children’s Hospital, Boston
$300,000 in 1997

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

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

Mark Berends and Samuel R. Lucas
The Structure and Effects of Tracking in the United States: A Temporal Perspective
Institute on Education and Training
The RAND Corporation
$472,800 in 1997

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

David Bloom and Susan R. Goldman
Using Multiple Texts for Academic Learning: Social and Cognitive Perspectives
Department of Teaching and Learning
Vanderbilt University
$332,900 in 1997

Lloyd Bond
To Investigate Sources of Adverse Impact in the National Board for Professional Teaching Standards Early Adolescence/English Language Arts Assessment
Center for Educational Research and Evaluation
University of North Carolina at Greensboro
$469,600 in 1997

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

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

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

Mary Lynn M. Bryan
The Jane Addams Papers
The Jane Addams Papers
Duke University
$20,000 in 1996

Anthony S. Bryk
Renewal: The Consortium on Chicago School Research
University of Chicago
$619,800 in 1994

Ronald S. Burt and Joseph Jannotta, Jr.
Building Bridges: A Study of Mentors and the Social Capital of Promising Minorities
Chicago Management Council
$45,000 in 1997

Robert B. Cairns
Intergenerational Turning Points for School Success
Center for Developmental Science
University of North Carolina at Chapel Hill
$258,750 in 1997

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

Sophia Cohen
When the Learners' Thinking Takes Center Stage: A Study of Teacher and Classroom Change
Center for the Development of Teaching
Education Development Center, Inc.
$81,743 in 1997

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

Michael N. Danielson and Jennifer L. Hochschild
With the Best Intentions: New York State and Racial Separation in Yonkers
Woodrow Wilson School of Public and International Affairs
Princeton University
$162,600 in 1997

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

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

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

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

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

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

Michael J. Feuer
Assessment Strategies for the Federal Title I Program
Commission on Behavioral and Social Sciences and Education
National Academy of Sciences National Research Council
$100,000 in 1997

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

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

Karen C. Fuson
Supporting Urban Latino Children's Constructions of Arithmetical Understandings by Using Parent Tutors in the School
School of Education and Social Policy
Northwestern University
$313,000 in 1994

Karen Gallas, Iris Feldman, Linda Goldman, and Anne Martin
Teacher-Initiated Professional Development: The Lawrence School Teacher Study Groups
Brookline Public Schools
Brookline, Massachusetts
$94,620 in 1996

James P. Gee and Sarah A. Michaels
Talk, Text, and Identity: Understanding Teaching and Learning in a Post-Progressive Science Program
Jacob Hiatt Center for Urban Education
Clark University
$300,310 in 1996

Merryl Goldberg
SUAVE: Examining the Role of Coaching as a Professional Development Model
College of Education
California State University, San Marcos
$150,000 in 1997

Claudia Goldin
National Bureau of Economic Research
Harvard University
$102,725 in 1996

Susan Goldin-Meadow
Gesture-Speech Mismatch as an Educational Tool: Using the Hand to Read the Mind
Department of Psychology
University of Chicago
$219,475 in 1994

Esther N. Goody
Authority and Effective Learning in Northern Ghana
Department of Social Anthropology
University of Cambridge, United Kingdom
$232,900 in 1997

Usha Claire Goswami
Factors Influencing the Use of Analogical Reasoning by Young Children
Institute of Child Health
University College, London Medical School, United Kingdom
$111,100 in 1996
Grants in Progress

Stephen J. Griffin  
Making the Transparent Visible: Teachers’ Research on Classroom Discourse  
Technical Educational Research Center (TERC)  
$249,700 in 1997

David Hammer  
Advancing Reforms in Science Education: Teachers’ Conceptual Resources  
Center for the Development of Teaching  
Education Development Center, Inc.  
$106,537 in 1997

Sara Harkness and Charles M. Super  
Parental Ethnotheories, Cultural Practices, and the Transition to School  
School of Family Studies  
University of Connecticut  
$442,650 in 1995

Shirley Brice Heath and Milbrey W. McLaughlin  
Learning for Anything Everyday: The Role of Neighborhood-Based Organizations for Youth  
Department of English  
Stanford University  
$441,400 in 1994

James J. Heckman  
The Value of Certifying Skills: A Case Study of the GED  
Department of Economics  
University of Chicago  
$216,900 in 1995

G. Alfred Hess  
Strengthening the Links Between Communities and Schools  
Northwestern University  
$300,000 in 1996

George Hillocks, Jr.  
How State Assessments Influence Curricular Content and Classroom Practice: The Case of Writing  
Department of Education  
University of Chicago  
$278,200 in 1995

Frederick E. Hoxie  
Postdoctoral Fellowships in the History of Education  
Newberry Library  
$185,000 in 1997

A. Michael Huberman  
The Conceptual Effects of Disseminating Research-Based Knowledge to Educational Professionals  
Graduate School of Education  
Harvard University  
$163,600 in 1994

Philip W. Jackson  
Teaching and Learning Through the Arts: A Post-Deweyan Perspective  
Department of Education  
University of Chicago  
$184,500 in 1994

Jerry A. Jacobs  
Gender and the College Curriculum  
Department of Sociology  
University of Pennsylvania  
$169,475 in 1996

Harry Judge  
The State, Schools and Religion  
Brasenose College  
United Kingdom  
$37,000 in 1997

Richard D. Kahlenberg  
Research and Writing of a Book Examining Inequality of Educational Opportunity  
Center for National Policy  
$25,000 in 1997

John F. Kain  
Minority Suburbanization and the Achievement of Minority Students  
Department of Economics  
Harvard University  
$214,700 in 1997

Amy Kyratzis  
Gender, Peer Groups, and Social Identity in the Preschool  
Department of Education  
University of California, Santa Barbara  
$55,200 in 1996

Ellen Condliffe Lagemann  
The Social History of Educational Research in the United States from the 1860s to the 1960s  
School of Education  
New York University  
$368,450 in 1987

Carol D. Lee  
Cultural Modeling in Reading Comprehension: Implications for Teacher and Student Cognition  
School of Education and Social Policy  
Northwestern University  
$136,250 in 1996

Valerie E. Lee  
High School Size: Effectiveness, Equity, and Meaning to School Members  
School of Education  
University of Michigan  
$101,500 in 1997

Mary J. Levitt and Jerome L. Levitt  
Social Networks and School Adaptation Across the Child to Adolescent Transition  
Department of Psychology  
Florida International University  
$293,350 in 1997

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

Howard B. London and Kathleen M. Shaw  
 Cultures of Success: A Study of Community Colleges with High Transfer Rates  
Department of Sociology  
Bridgewater State College  
$130,300 in 1996

Sally Lubeck  
Measuring the Construct of ‘Social Context’ in Preschool Programs for Economically Disadvantaged Children  
School of Education  
University of Michigan  
$137,100 in 1996

Kenneth Ludmerer  
American Medical Education in the Twentieth Century  
Department of Medicine  
Washington University  
$30,000 in 1996
Dan P. McAdams  
*Generativity in Black and White*
School of Education and Social Policy  
Northwestern University  
$367,200 in 1995

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

David McNeill  
*Children’s Representation of Motion Events*
Department of Psychology  
University of Chicago  
$418,400 in 1996

John Merrow  
*Radio Forums on Current Issues in Education*
Learning Matters, Inc.  
New York, New York  
$241,000 in 1996

Mary Haywood Metz  
*Real Schools in Disparate Circumstances: How Community Social Class Shapes Teachers’ Working Lives and the Opportunities They Learn to Offer Their Students*
Department of Educational Policy Studies  
University of Wisconsin-Madison  
$40,000 in 1997

John Modell  
*Schooling and School Learning in Children’s Lives: A Comparative Developmental Study Employing IEA Data*
Department of History  
Carnegie Mellon University  
$189,300 in 1995

Donald R. Moore  
*School Community Standards Project*
Designs for Change  
Chicago, Illinois  
$390,000 in 1996

Pamela A. Moss  
*Developing Coherence Between Assessment and Reform: A Role for Hermeneutics in Licensing and Professional Development of Teachers*
School of Education  
University of Michigan  
$459,650 in 1997

Margaret A.M. Murray  
*Factors Contributing to Women’s Success as Professional Mathematicians: The Doctoral Classes of 1940-1959*
Department of Mathematics  
Virginia Polytechnic Institute and State University  
$65,100 in 1997

Diana C. Mutz  
*The Company of Strangers: Social Context and the Public Sphere*
Department of Political Science  
University of Wisconsin-Madison  
$79,500 in 1996

Rebecca S. New and Bruce L. Mallory  
*The Socio-Cultural Construction of Home-School Relations: The Case of Reggio Emilia and Contemporary Italy*
Department of Education  
University of New Hampshire  
$296,150 in 1997

Norman Nie  
*Educational and Social Outcomes Research Analysis*
Department of Political Science  
University of Chicago  
$20,000 in 1997

Anat Ninio  
*The Acquisition of Dependency Grammar*
Department of Psychology  
Hebrew University of Jerusalem, Israel  
$218,775 in 1996

Jody D. Nyquist, Ann Austin, Jo Sprague, and Donald Wulff  
*The Development of Graduate Students as Prospective Teaching Scholars: A Longitudinal Research Project*
Center for Instructional Development and Research  
University of Washington  
$254,450 in 1996

Mary Catherine O’Connor  
*Teacher Discourse in Middle School Mathematics Classrooms*
School of Education  
Boston University  
$212,500 in 1996

David R. Olson  
*Belief in Education*
Ontario Institute for Studies in Education  
University of Toronto, Canada  
$167,000 in 1995

Annemarie Palincsar and Shirley Magnusson  
*Three Activity Settings Supporting Communities of Practice Among Teachers*
School of Education  
University of Michigan  
$105,078 in 1997

David M. Post, David G. Abler, Dennis P. Hogan, and Leif I. Jensen  
*Family Welfare and Children’s Schooling: A Study of Chile, Peru, and Mexico*
Department of Agricultural Economics and Rural Sociology  
Pennsylvania State University  
$269,350 in 1995

Harold A. Richman and Joan R. Wynn  
*Furthring Education: The Relationship of Schools and Other Institutions*
Chapin Hall Center for Children  
University of Chicago  
$320,000 in 1996

Joanne E. Roberts and Margaret R. Burchinal  
*A Longitudinal Study of the Role of Language in School Success for African-American Children*
Frank Porter Graham Child Development Center  
University of North Carolina at Chapel Hill  
$327,950 in 1997
Grants in Progress

Melissa Roderick  
Student Life in High Schools Project  
School of Social Service Administration  
University of Chicago  
$28,800 in 1997

Barbara Rogoff  
Development in Individual, Group, and Cultural Activity: Transformations as New Members Participate in an Innovative School Department of Psychology  
University of California, Santa Cruz  
$93,100 in 1995

Ken Rolling and Mark A. Smylie  
Evaluation of the Chicago Annenberg Challenge  
Chicago Annenberg Challenge  
Northwestern University  
$503,000 in 1996

Michael Rosenthal  
Biography of Nicholas Murray Butler, President of Columbia from 1902-1943  
Department of English and Comparative Literature  
Columbia University in the City of New York  
$93,000 in 1996

Robert M. Sellers  
Institutional and Programmatic Factors Associated with College Student-Athletes’ Academic Success and Failure  
Department of Psychology  
University of Virginia  
$265,200 in 1995

Christopher A. Stray  
The Shaping of a Discipline: Classics in Cambridge, 1822-1914  
Department of Classics and Ancient History  
University of Wales, Swansea, United Kingdom  
$101,100 in 1996

Rosamund Sutherland and Maria Teresa Rojano  
Mexican/British Project on the Role of Spreadsheets Within School-Based Mathematical Practices  
School of Education  
University of London, United Kingdom  
$132,120 in 1994

Patricia M. Thane  
Oral History of Higher Educated Women in Britain 1920s-1970s  
School of Social Sciences  
University of Sussex, United Kingdom  
$157,600 in 1995

Michael Tomasello  
Joint Attention and the Emergence of Language  
Department of Psychology  
Emory University  
$113,800 in 1995

Vivian Troen, Katherine Boles, and Mieko Kamii  
A Study to Analyze the Process, Conditions, and Policy Arrangements That Support Teacher Learning in a Successful Professional Development Site  
Brookline Public Schools and Boston Public Schools  
$149,550 in 1997

Pamela B. Walters  
Department of Sociology  
Indiana University  
$269,450 in 1995

Beth Warren, Cynthia Ballenger, and Ann S. Rosebery  
Understanding Learning in Teacher Researcher Communities  
Technical Educational Research Center (TERC)  
$240,000 in 1995

Lois Weis (joint project with Michelle Fine at CUNY)  
Sites of Possibility in Urban America  
Department of Educational Organization, Administration, and Policy  
State University of New York at Buffalo  
$312,455 in 1996

Carol H. Weiss and Joseph P. Newhouse  
Postdoctoral Fellowships in Evaluating Programs for Children and Children  
Harvard Project on Schooling and Children  
Harvard University  
$720,600 in 1996

John B. Willett and Judith D. Singer  
Bridging the Gap Between Methodology and Substance: Advances in Study Design and Statistical Analysis for Educational Research  
Graduate School of Education  
Harvard University  
$397,950 in 1997

J. Douglas Willms  
School and Community Effects on Children’s Educational and Health Outcomes  
Atlantic Centre for Policy Research in Education  
University of New Brunswick, Canada  
$271,350 in 1997

Samuel S. Wineburg  
Historical Sense-Making: An Intergenerational Study  
College of Education  
University of Washington  
$156,800 in 1995

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

Kenneth Zeichner and Cathy Caro-Brucke  
The Nature and Impact of an Action Research Program for Teachers and Principals in One Urban School District  
Madison Metropolitan School District/University of Wisconsin-Madison  
$79,000 in 1996

Grants in Progress reflect major research and professional development grants active through August 31, 1998.
GRANTEE PUBLICATIONS RECEIVED

Atwell, Nancie
In the Middle: New Understandings About Writing, Reading and Learning
Boynton/Cook Publishers, Portsmouth, NH, 1998

August, Diane, and Kenji Hakuta
Improving Schooling for Language-Minority Children: A Research Agenda
National Academy Press, Washington, DC, 1997

August, Diane, and Kenji Hakuta
Educating Language-Minority Children
National Academy Press, Washington, DC, 1998

Bandura, Albert
Self-Efficacy: The Exercise of Control

Blythe, Tina
The Teaching for Understanding Guide

Callan, Eamonn
Creating Citizens: Political Education and Liberal Democracy

Carroll, Jackson W., Barbara G. Wheeler, Daniel O. Aleshire, and Penny Long Marler
Being There: Culture and Formation in Two Theological Schools
Oxford University Press, New York, 1997

Chicago Panel on School Policy
Chicago Public School Data Book: School Year 1994-95
Chicago Panel on School Policy, Chicago, 1996

Cole, Michael
Cultural Psychology: A Once and Future Discipline

Dyson, Anne Haas
What Difference Does Difference Make: Teacher Reflections on Diversity, Literacy and the Urban Primary School
National Council of Teachers of English, Urbana, IL, 1997

Dyson, Anne Haas
Writing Superheroes: Contemporary Childhood, Popular Culture and Classroom Literacy

Fajans, Jane
They Make Themselves: Work and Plan Among the Baining of Papua New Guinea
University of Chicago Press, Chicago, 1997

Farley, Reynolds (Ed.)
State of the Union: America in the 1990s
Volume I: Economic Trends
Russell Sage Foundation, New York, 1995

Farley, Reynolds (Ed.)
State of the Union: America in the 1990s
Volume II: Social Trends
Russell Sage Foundation, New York, 1995

Foster, Michele
Black Teachers on Teaching

Ginsburg, Herbert P.
Entering the Child’s Mind: The Clinical Interview in Psychological Research and Practice

Handler, Richard, and Eric Gable
The New History in an Old Museum: Creating the Past at Colonial Williamsburg
Duke University Press, Durham, NC, 1997

Heller, Caroline E.
Until We Are Strong Together: Women Writers in the Tenderloin
Teachers College Press, New York, 1997

Holloway, Susan D., Bruce Fuller, Marylee F. Rambaud, and Costanza Eggers-Pierola
Through My Own Eyes: Single Mothers and the Cultures of Poverty

Lavin, David E. and David Hyllegard
Changing the Odds: Open Admissions and the Life Chances of the Disadvantaged
Yale University Press, New Haven, CT, 1996

Lawrence-Lightfoot, Sara, and Jessica Hoffman Davis
The Art and Science of Portraiture

Peshkin, Alan
Places of Memory: Whitman’s Schools and Native American Communities

Vernon-Feagans, Lynne
Children’s Talk in Communities and Classrooms

Wells, Amy Stuart, and Robert L. Crain
Stepping over the Color Line: African-American Students in White Suburban Schools
Yale University Press, New Haven, CT, 1997

Williams, John B.
Praeger Publishers, Westport, CT, 1997

Wiske, Martha Stone
Teaching for Understanding: Linking Research with Practice
On March 31, 1998, the assets of the Spencer Foundation totaled $494 million. These assets are 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 and Controller, oversees the performance of the Foundation’s investments, convening regularly (at meetings to which all Directors are invited) to review investment results, to discuss investment policy, and to set the asset allocation policy. The Northern Trust Company is custodian bank. A complete list of the Foundation’s assets is available for inspection at the Foundation.

The Foundation made its first distributions in 1971 and through March 31, 1998, has authorized grants and fellowships of $201.7 million, of which $27.4 million remains payable in future fiscal years. During the 1998 fiscal year, the Foundation made payments on grants and fellowships totaling $14.5 million, and the Board of Directors anticipates making grants at a slightly higher level through the 1999 fiscal year. The audited financial statements of the Spencer Foundation begin on page 40.
INDEPENDENT AUDITORS’ REPORT

Board of Directors
The Spencer Foundation
Chicago, Illinois

We have audited the accompanying statements of financial position of The Spencer Foundation (an Illinois not-for-profit corporation) as of March 31, 1998 and 1997, and the related statements of activities and cash flows for the years then ended. These financial statements are the responsibility of the Foundation’s management. Our responsibility is to express an opinion on these financial statements based on our audits.

We conducted our audits in accordance with generally accepted auditing standards. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. 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, 1998 and 1997, and the changes in its net assets and its cash flows for the years then ended in conformity with generally accepted accounting principles.

Chicago, Illinois
May 12, 1998

Chicago, Touche LLP
## STATEMENTS OF FINANCIAL POSITION
### MARCH 31, 1998 AND 1997
(Thousands of Dollars)

### ASSETS:

<table>
<thead>
<tr>
<th>Description</th>
<th>1998</th>
<th>1997</th>
</tr>
</thead>
<tbody>
<tr>
<td>Investments, at quoted market value (cost: 1998-$230,204; 1997-$227,015) (Note 3)</td>
<td>$ 492,591</td>
<td>$ 356,028</td>
</tr>
<tr>
<td>Cash (including funds held by investment custodians: 1998 - $164; 1997 - $2,218)</td>
<td>1,008</td>
<td>2,437</td>
</tr>
<tr>
<td>Other assets:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Accrued interest and dividends</td>
<td>126</td>
<td>153</td>
</tr>
<tr>
<td>Other</td>
<td>308</td>
<td>393</td>
</tr>
<tr>
<td><strong>Total Assets</strong></td>
<td>494,033</td>
<td>359,011</td>
</tr>
</tbody>
</table>

### LIABILITIES:

<table>
<thead>
<tr>
<th>Description</th>
<th>1998</th>
<th>1997</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grants payable</td>
<td>27,432</td>
<td>21,879</td>
</tr>
<tr>
<td>Payable to brokers</td>
<td>203</td>
<td>173</td>
</tr>
<tr>
<td>Accounts payable and accrued expenses</td>
<td>392</td>
<td>350</td>
</tr>
<tr>
<td>Excise taxes payable</td>
<td></td>
<td>38</td>
</tr>
<tr>
<td><strong>Total Liabilities</strong></td>
<td>28,027</td>
<td>22,440</td>
</tr>
</tbody>
</table>

### UNRESTRICTED NET ASSETS (Note 6) $ 466,006 $ 336,571

See notes to financial statements.
## STATEMENTS OF ACTIVITIES
YEARS ENDED MARCH 31, 1998 AND 1997
(Thousands of Dollars)

<table>
<thead>
<tr>
<th></th>
<th>1998</th>
<th>1997</th>
</tr>
</thead>
<tbody>
<tr>
<td>DIVIDENDS</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Dividends</td>
<td>$5,942</td>
<td>$6,018</td>
</tr>
<tr>
<td>Interest</td>
<td>302</td>
<td>483</td>
</tr>
<tr>
<td>Realized gains</td>
<td>13,419</td>
<td>8,627</td>
</tr>
<tr>
<td>Increase in unrealized gains</td>
<td>133,374</td>
<td>46,082</td>
</tr>
<tr>
<td><strong>Total revenue and gains</strong></td>
<td><strong>153,037</strong></td>
<td><strong>61,210</strong></td>
</tr>
<tr>
<td>GRANTS AND OTHER EXPENSES</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grants authorized (Note 5)</td>
<td>19,682</td>
<td>24,775</td>
</tr>
<tr>
<td>Administrative expenses</td>
<td>2,503</td>
<td>2,273</td>
</tr>
<tr>
<td>Investment services</td>
<td>793</td>
<td>600</td>
</tr>
<tr>
<td>Excise taxes (Note 4)</td>
<td>624</td>
<td>269</td>
</tr>
<tr>
<td><strong>Total grants and other expenses</strong></td>
<td><strong>23,602</strong></td>
<td><strong>27,917</strong></td>
</tr>
<tr>
<td>INCREASE IN NET ASSETS</td>
<td>129,435</td>
<td>33,293</td>
</tr>
<tr>
<td>UNRESTRICTED NET ASSETS - Beginning of year</td>
<td>336,571</td>
<td>303,278</td>
</tr>
<tr>
<td>UNRESTRICTED NET ASSETS - End of year</td>
<td>$466,006</td>
<td>$336,571</td>
</tr>
</tbody>
</table>

See notes to financial statements.
### STATEMENTS OF CASH FLOWS
YEARS ENDED MARCH 31, 1998 AND 1997
(Thousands of Dollars)

<table>
<thead>
<tr>
<th>1998</th>
<th>1997</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>CASH FLOWS FROM OPERATING ACTIVITIES:</strong></td>
<td></td>
</tr>
<tr>
<td>Increase in net assets</td>
<td>$129,435</td>
</tr>
<tr>
<td>Adjustments to reconcile increase in net assets to net cash flows from operating activities:</td>
<td></td>
</tr>
<tr>
<td>Gain on sale of investments</td>
<td>(13,419)</td>
</tr>
<tr>
<td>Unrealized gain on investments</td>
<td>(133,374)</td>
</tr>
<tr>
<td>Depreciation</td>
<td>123</td>
</tr>
<tr>
<td>Changes in assets and liabilities:</td>
<td></td>
</tr>
<tr>
<td>Accrued interest and dividends</td>
<td>27</td>
</tr>
<tr>
<td>Taxes refundable</td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td>(17)</td>
</tr>
<tr>
<td>Grants payable</td>
<td>5,553</td>
</tr>
<tr>
<td>Payable to brokers</td>
<td>30</td>
</tr>
<tr>
<td>Accounts payable and accrued expenses</td>
<td>42</td>
</tr>
<tr>
<td>Excise taxes payable</td>
<td>(38)</td>
</tr>
<tr>
<td>Net cash flows from operating activities</td>
<td>(11,638)</td>
</tr>
</tbody>
</table>

**CASH FLOWS FROM INVESTING ACTIVITIES:**

<table>
<thead>
<tr>
<th>1998</th>
<th>1997</th>
</tr>
</thead>
<tbody>
<tr>
<td>Purchases of investments</td>
<td>(26,253)</td>
</tr>
<tr>
<td>Proceeds from sales of investments</td>
<td>36,483</td>
</tr>
<tr>
<td>Capital expenditures</td>
<td>(21)</td>
</tr>
<tr>
<td>Net cash flows from investing activities</td>
<td>10,209</td>
</tr>
</tbody>
</table>

**DECREASE IN CASH**

<table>
<thead>
<tr>
<th></th>
<th>1998</th>
<th>1997</th>
</tr>
</thead>
<tbody>
<tr>
<td>CASH - Beginning of year</td>
<td>2,437</td>
<td>2,462</td>
</tr>
<tr>
<td>CASH - End of year</td>
<td>$1,008</td>
<td>$2,437</td>
</tr>
</tbody>
</table>

See notes to financial statements.
NOTES TO FINANCIAL STATEMENTS  
YEARS ENDED MARCH 31, 1998 AND 1997  
(Thousands of Dollars)

1. NATURE OF OPERATIONS

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

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

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

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

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

Reclassifications - Certain 1997 balances have been reclassified to conform with 1998 financial statement 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, adjusted for accretion of discount or amortization of premium on bonds purchased. Dividends and interest income are recorded on the accrual basis.

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

<table>
<thead>
<tr>
<th></th>
<th>1998</th>
<th></th>
<th>1997</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Cost</td>
<td>Market</td>
<td>Cost</td>
<td>Market</td>
</tr>
<tr>
<td>Index funds</td>
<td>$137,298</td>
<td>$288,872</td>
<td>$137,319</td>
<td>$209,509</td>
</tr>
<tr>
<td>Common stocks</td>
<td>88,469</td>
<td>205,420</td>
<td>84,768</td>
<td>145,158</td>
</tr>
<tr>
<td>Real estate funds</td>
<td>4,437</td>
<td>3,654</td>
<td>4,928</td>
<td>3,994</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$230,204</strong></td>
<td><strong>497,946</strong></td>
<td><strong>$227,015</strong></td>
<td><strong>358,661</strong></td>
</tr>
<tr>
<td>Deferred federal excise tax</td>
<td>(5,355)</td>
<td>(2,633)</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$492,591</strong></td>
<td><strong>$356,028</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

4. TAXES

Excise Tax - The Foundation qualifies as a private foundation and, as a result, is subject to a federal excise tax of two percent on net investment income, as defined. If the average payout ratio for the past five years plus one percent of net investment income in the current year, as defined, is less than the current year’s charitable distributions, federal excise tax is payable at one percent of net investment income, as defined. The Foundation paid federal excise tax of two percent in the year ended March 31, 1998 and one percent in the year ended March 31, 1997.
The quoted market value of investments was reduced by $5,355 and $2,633 at March 31, 1998 and 1997, respectively, representing the federal excise taxes which would become payable if the net unrealized gains were realized. The change in such deferred taxes is applied against the change in unrealized gains in the statements of activities.

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

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

5. GRANT COMMITMENTS

The Foundation has authorized but unpaid grants outstanding as of March 31, 1998, payable as follows:

<table>
<thead>
<tr>
<th>Fiscal Year Ending March 31</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1999</td>
<td>$10,224</td>
</tr>
<tr>
<td>2000</td>
<td>9,556</td>
</tr>
<tr>
<td>2001</td>
<td>5,610</td>
</tr>
<tr>
<td>2002</td>
<td>2,042</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$27,432</strong></td>
</tr>
</tbody>
</table>

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

6. UNRESTRICTED NET ASSETS

Unrestricted net assets are composed of the following amounts:

<table>
<thead>
<tr>
<th></th>
<th>1998</th>
<th>1997</th>
</tr>
</thead>
<tbody>
<tr>
<td>Principal</td>
<td>$82,203</td>
<td>$82,203</td>
</tr>
<tr>
<td>Cumulative excess of grants and other expenses over revenue (cumulative grants authorized of $201,742 at March 31, 1998)</td>
<td>(100,268)</td>
<td>(82,910)</td>
</tr>
<tr>
<td>Cumulative net realized gains on sales of investments</td>
<td>221,684</td>
<td>208,265</td>
</tr>
<tr>
<td>Unrealized gains in investment portfolio</td>
<td>262,387</td>
<td>129,013</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$466,006</strong></td>
<td><strong>$336,571</strong></td>
</tr>
</tbody>
</table>

7. PROFESSIONAL DEVELOPMENT PROGRAM

During 1996 fiscal year, the Foundation established a joint venture Professional Development Research and Documentation Program (the “Program”) with The John D. and Catherine T. MacArthur Foundation. The program provides grants for research in the area of professional development in schools and will provide a total of $3 million in grants over a four-year period. Under the joint venture agreement, the Foundation administers the program and contributes 25 percent of the total awards and 50 percent of administration costs. MacArthur provides the remaining 75 percent of total awards and 50 percent of administration costs. At March 31, 1998, the cash balance of the Foundation includes $321 of funds advanced from The MacArthur Foundation not yet expended under the Program; the contra amount is included in accounts payable and accrued expenses.

8. RETIREMENT PLAN

The Foundation contributes 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 $168 and $127 in 1998 and 1997, respectively. The Foundation funds its pension costs on a current basis in accordance with TIAA-CREF requirements.