

# THE SPENCER FOUNDATION

---

## ANNUAL REPORT

April 1, 2002 – March 31, 2003

### TABLE OF CONTENTS

2	Board of Directors and Staff
3	Advisory Committees
5	President's Report
7	Research Grants: Directions, Highlights, and Grant Application Procedures
12	Fellowships: Directions, Highlights, and Grant Application Procedures
17	Institutional Initiatives: Directions and Highlights

#### **2003 Grants Authorized**

19	Research Grants
23	Fellowship Awards
27	Institutional Initiatives
28	Other Grants
31	Grantee Publications Received
34	Independent Auditor's Report
35	Financial Statements

## BOARD OF DIRECTORS AND STAFF

### DIRECTORS

Derek C. Bok  
*Chair, as of January 2003*  
*Harvard University*

Mary Patterson McPherson  
*Chair, through January 2003*  
*Andrew W. Mellon Foundation*

Howard E. Gardner  
*Harvard University*

Paul D. Goren  
*The Spencer Foundation,*  
*Acting President as of July*  
*2002*

Cynthia Greenleaf  
*Chicago Public Schools*

Kenji Hakuta  
*Vice Chair*  
*Stanford University*

Ellen Condliffe Lagemann  
*The Spencer Foundation,*  
*President through June 2002*

Magdalene Lampert  
*University of Michigan*

Lyle Logan, Sr.  
*The Northern Trust Company*

John S. Reed  
*Citigroup, Former Chairman*  
*and CEO*

Richard J. Shavelson  
*Stanford University*

### STAFF

Paul D. Goren  
*Vice President,*  
*Acting President*  
*as of July 2002,*  
*Acting Treasurer*  
*as of January 2003*

Ellen Condliffe Lagemann  
*President through June 2002*

Michael S. McPherson  
*President as of August 2003*

Ines M. Milne  
*Secretary and Treasurer*  
*through January 2003*

Mary J. Cahillane  
*Chief Financial Officer and*  
*Treasurer as of July 2003*

Margaret Jay Braatz  
*Senior Program Officer*

Annie Brinkman  
*Program Assistant*

Maria H. Carlos  
*Controller*

Elizabeth Carrick  
*Operations Manager/Human*  
*Resources Associate*

Patricia Cecil  
*Assistant Accountant*

Josephine Craven  
*Systems Administrator*

Susan L. Dauber  
*Senior Program Officer*

Doris E. Fischer  
*Conference Coordinator,*  
*Program Assistant*

Michael Gallimore  
*Database Developer,*  
*as of July 2002*

Kathryn A. Gray  
*Program Assistant*

Judith Klippenstein  
*Administrative Assistant*  
*to the President,*  
*Assistant Secretary*  
*to the Foundation*

R. David Matthews  
*Staff Assistant*

Carrie A. McGill  
*Program Assistant*

Mary Ellen Natonski  
*Administrative Assistant*

Mark E. Rigdon  
*Senior Program Officer*

John L. Rury  
*Senior Program Officer*

Rachel Singal  
*Research Assistant,*  
*as of November 2002*

Rick Steele  
*Director of Information*  
*Technology Services*  
*through February 2003*

Mary C. Visconti  
*Program Assistant,*  
*through July 2002*

Kimberly A. Wright  
*Program Assistant*  
*through October 2002*

Lauren Jones Young  
*Director of Institutional*  
*Initiatives*

## ADVISORY COMMITTEES

### SMALL RESEARCH GRANTS ADVISORY COMMITTEE

Nancy Beadie

*University of Washington*

Daniel Chazan

*University of Maryland,  
College Park,  
through February 2003*

Frederick M. Hess

*American Enterprise Institute*

Joanne Lobato

*San Diego State University*

Samuel Lucas

*University of California,  
Berkeley*

David Mitch

*University of Maryland,  
Baltimore County,  
through April 2003*

Regina Werum

*Emory University*

Liliana Zecker

*DePaul University*

Jonathan Zimmerman

*New York University,  
through February 2003*

### DISSERTATION FELLOWSHIPS SELECTION ADVISORY COMMITTEE

Charles T. Clotfelter

*Terry Sanford Institute of  
Public Policy  
Duke University*

Donna L. Deyhle

*Department of Educational  
Studies  
University of Utah*

James Greeno

*School of Education  
Stanford University*

Chandra Muller

*Population Research Center  
and Department of Sociology  
University of Texas at Austin*

William Reese

*Department of Educational  
Policy Studies  
University of Wisconsin-  
Madison*

Olga A. Vásquez

*Department of Communication  
University of California,  
San Diego*

Arlette Ingram Willis

*Department of Curriculum and  
Instruction  
University of Illinois at  
Urbana-Champaign*

Kenneth Wong

*Department of Leadership,  
Policy, and Organizations  
Vanderbilt University*

## LYLE M. SPENCER

1911-1968

- In 1938, while a graduate student in sociology at the University of Chicago, Lyle M. Spencer founded Science Research Associates (SRA), which eventually became one of the country's leading publishers of educational tests, guidance programs, and curriculum materials. Lyle Spencer served as president of SRA from its founding until his death in 1968.
- Lyle M. Spencer established the foundation that bears his name in 1962. The Foundation received its major endowment following Spencer's death in 1968 and began making grants in 1972. Since that time, the Foundation has authorized grants totaling approximately \$318 million. Its assets as of March 31, 2003, were \$335 million.
- Lyle M. Spencer liked to describe himself as "a businessman looking in over the rim of education." He left notes indicating that he had established the Foundation in the hope that, since most of the Spencer money had been earned in educational publishing, much of that money might be "returned eventually to investigating ways in which education can be improved, around the world. Broadly conceived, wherever learning occurs."

## PRESIDENT'S REPORT

*“All the Spencer dough was earned, improbably, from education. It makes sense, therefore, that much of this money should be returned eventually to investigating ways in which education can be improved, around the world. Broadly conceived, wherever learning occurs.”*

Lyle M. Spencer, April 1967

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

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

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

During the year, the Foundation's Board of Directors focused its efforts on finding a new president who would embrace the traditions of the Foundation while also moving it forward. After an extensive search, the Directors announced the appointment of Michael S. McPherson as the fifth president of the Spencer Foundation. Mike comes to Spencer after serving as professor of economics and Dean of the Faculty at Williams College in Williamstown, Massachusetts, and after distinguished service as President of Macalester College in St. Paul,

Minnesota. His expertise is in higher education finance and the interplay of education, economics, and ethics. Mike brings to the Foundation a strong commitment to advancing the public good through high quality research on education.

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



Paul D. Goren  
Acting President  
March 2003

### A Message From President-Elect Michael S. McPherson

I am enormously grateful to the Directors of the Spencer Foundation for offering me the opportunity to lead this great organization. As all of us in the education research community know, through the years Spencer has, perhaps more than any other organization, "kept the faith" that the path to better lives for individuals and for societies runs through education, and that improvement in education depends on the deeper understandings and insights that derive from serious and sustained research. To that end, we aim to foster the creation and the use of scholarship that both meets the highest intellectual standards and carries the greatest promise to help change education for the better. The means we adopt in pursuing that aim will no doubt change from time to time, and indeed we are eager to explore novel and creative pathways toward achieving our goals, but the underlying values and purpose of the Foundation will endure. Ours is an enlivening and a demanding assignment, one that we at Spencer embrace in a spirit of partnership with others in the worlds of educational research and practice and of philanthropy.

## RESEARCH GRANTS

### *Directions, Highlights, and Grant Application Procedures*

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

The longest-running and largest research grant program at Spencer is Major Research Grants, which has been in continuous operation since the Foundation's beginning. In recent years the Major Research Grants Program has made awards totaling between six and eight million dollars annually, providing levels of support that typically range from less than \$100,000 to just over \$400,000 per grant. Last year the Foundation received

nearly four hundred preliminary inquiries in this program, and from this we requested a much smaller number of full proposals. These invited proposals were carefully reviewed both internally and externally, and ultimately we were able to fund a small percentage of them. The Foundation strives to provide notice of funding decisions within six months of the receipt of full proposals, although we are constrained by the timing of Board meetings in some instances.

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

### MATHEMATICAL IDENTITY AND STUDENT LEARNING

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

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

these projects, and the moderate length of the proposals, we attempt to provide funding decisions within a few months of receiving an application.

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

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

## TWO-YEAR COLLEGES' CONTACTS WITH POTENTIAL EMPLOYERS

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



## Application Guidelines for Research Grants

### Major Research Grants

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

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

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

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

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

Attachments must include:

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

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

## Small Research Grants

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

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

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

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

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

### MAKING HISTORY COME ALIVE

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

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

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

- the new knowledge about education expected to result from the project; and
- the potential contribution of that new knowledge to the improvement of education.

Attachments should include:

- a one-paragraph summary of the project, written for the interested informed lay person;
- a detailed budget for the project;
- approval of the budget from the appropriate financial officer of the institution;
- the curriculum vita(e) of the principal investigator(s); no longer than 6 pages; and
- phone number(s), fax number(s) and email addresses where investigator(s) may be reached.

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

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

## FELLOWSHIPS

### *Directions, Highlights, and Grant Application Procedures*

From its inception, the Foundation recognized the importance of providing support for promising researchers interested in educational issues as a means of improving both the quality of educational research and quantity of strong scholars interested in tackling the difficult problems associated with understanding and improving education. Faced with a steady decline in other organizations' support of education research and training, the Foundation developed programs, targeted at various stages of the scholarly career, to support the growth and development of the educational research community. The Foundation's fellowship programs provide scholars with financial resources needed to help support full-time scholarly work and access to professional communities that help broaden fellows' perspectives on their work.

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

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

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

Begun in 1996, the **American Educational Research Association (AERA)/Spencer Pre-Dissertation Fellowship Program** is designed to support doctoral students who are in the early stages of their professional studies. The program is administered by AERA. Each year, fifteen to twenty fellows, from education as well as the disciplines, are selected from a pool of approximately 250 applicants. Fellows receive stipends of up to \$16,000, plus \$4000 in travel funds. Fellows use their travel funds to meet with mentors from outside of their home institutions and to attend two three-day Institutes. Fellows for 2002-2003 are listed on pages 24 and 25.

The **National Academy of Education (NAE)/Spencer Postdoctoral Fellowship Program** is designed to strengthen education research and scholarship through the support of talented postdoctoral scholars with interests in education. The program was established in 1972 and has been administered by NAE throughout its history. From a pool of approximately 200 applicants in education and the disciplines, approximately thirty early career scholars (within five years of receipt of the doctoral degree) are awarded fellowships each year. The \$50,000 stipend is intended to provide support for one full year (or two years half time) of research and writing. In addition, fellows are invited to participate in a program of activities designed to strengthen their affiliation within the education research professional community. The 2003-2004 fellows are listed on pages 25 and 26.

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

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

## Dissertation Fellowship Program for Research Related to Education

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

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

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

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

**Application Procedure.** Application materials may be requested from the Foundation or downloaded from the Foundation’s website. Fellowship applicants must submit their completed applications by a mid-October date designated in written materials and on the Foundation’s website each year. Awards are announced in April.

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

## American Educational Research Association/Spencer Pre-Dissertation Research Fellowships

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

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

## National Academy of Education/Spencer Postdoctoral Fellowship

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

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

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

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

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

## DISSERTATION FELLOWS' SIGNIFICANT QUESTIONS

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

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

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

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

Other dissertation research this year is focused on issues of **social policy, politics, and educational reform**. One study examines the environmental origins of disparities in school readiness and early academic achievement for low income children. Combining methods from developmental psychology, education, and economics, Elizabeth Votruba-Drzal of Northwestern University focuses first on the influence of family income on children's home environments and the effects on child outcomes at the transition to kindergarten. She then examines the influence of child care type, quantity, stability, and

quality on children's school readiness, conceptualizing readiness as an integration of cognitive and social development. Finally she focuses on what aspects of the kindergarten experience promote school success in subsequent years. Her study addresses a key education policy question -- why do some children start school on unequal ground -- and has implications for policy interventions and practice to better promote school readiness for children.

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

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

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



## INSTITUTIONAL INITIATIVES

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

### Research Training Grant Program

The Research Training Grant (RTG) Program provides awards to schools of education to support the doctoral training of education researchers. Introduced in 1994, the RTG program is one of several Foundation efforts that

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

### ARIZONA STATE UNIVERSITY DISCIPLINE-BASED SCHOLARSHIP IN EDUCATION PROGRAM

Arizona State University's (ASU) Discipline-Based Scholarship in Education Program creates opportunities for faculty and students conducting research on education in the disciplines to communicate and collaborate with their counterparts in the ASU College of Education. Cross-Discipline Seminars in each of three broad areas of research (bilingualism, equity, and social and cognitive development) bring together faculty and students from across the university. Each seminar series spawns additional research and training opportunities, including a dissertation proposal-writing seminar, mentorship from a recognized scholar in each fellow's field, and competition for Dissertation Fellowships. By building on its strengths in both the disciplines and in the College of Education, ASU's program fosters deep engagement with issues from a cross-disciplinary perspective, and provides structured opportunities for students to develop their ideas into a dissertation prospectus.

## Discipline-Based Scholarship in Education Program

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

## Russian Training and Fellowship Program

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

### THE "IDEA OF TESTING" PROJECT

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

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

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

# 2003 GRANTS AUTHORIZED

## RESEARCH GRANTS

### MAJOR GRANTS

**Karl L. Alexander**

*Success in the Making: Life Course  
Patterns of Urban Youth Through  
the Third Decade*

Department of Sociology  
Johns Hopkins University  
\$500,000

**Craig Calhoun**

*SSRC-NAE Project on the Training and  
Careers of Educational Researchers*

Social Science Research Council  
\$99,950

**Kenneth A. Dodge**

*North Carolina Education Research  
Data Center*

Center for Child & Family Policy  
Duke University  
\$450,250

**James G. Greeno**

*Construction of Mathematical Identities  
in Middle School*

School of Education  
Stanford University  
\$406,150

**Thomas J. Kane**

*A Study of National Board Certified  
Teachers in Los Angeles*

School of Public Policy and Social  
Research  
University of California, Los Angeles  
\$301,900

**Cynthia B. Lloyd and Zeba Sathar**

*The Implications of Changing Educational  
Opportunities in Rural Pakistan, 1997-  
2003: School Access, Choice and Quality*

Policy Research Division  
The Population Council  
\$260,300

**Douglas L. Medin**

*The Cultural Context of Learning:  
Native American Science Education*

Department of Psychology  
Northwestern University  
\$50,000

**Barbara Scott Nelson**

*Leadership Content Knowledge:  
What it is and how it affects  
administrators' practice of classroom  
observation and teacher supervision*

Division of Mathematics, Learning  
and Teaching  
Education Development Center, Inc.  
\$423,500

**Denis C. Phillips**

*Summer Doctoral Training Institutes  
in Philosophy of Education*

School of Education  
Stanford University  
\$298,650

**James E. Rosenbaum**

*Contact between Two-year Colleges  
and Employers: Impact on Instruction,  
Guidance, and Student Outcomes*

Institute for Policy Research  
Northwestern University  
\$400,000

**Amy E. Schwartz, Ingrid Gould Ellen,**

**Katherine M. O'Regan, and**

**Leanna Stiefel**

*Public Education and New York City's  
Immigrant Children*

Wagner School of Public Service  
New York University  
\$260,750

**David P. Thelen**

*Learning from the Past: Individual  
Experience and Re-Enactment*

History Department  
Indiana University  
\$172,700

**Burton A. Weisbrod and Jeffrey P. Ballou**

*The Commercialization of Higher  
Education*

Institute for Policy Research  
Northwestern University  
\$390,300

## SMALL GRANTS

**Rebecca A. Allahyari**

*Sacred Schooling: Faith, Values, and Families in Home Education*  
School of American Research  
Santa Fe, NM  
\$28,000

**Kristin J. Anderson**

*Students' Expectations of Professors: The Influence of Gender, Ethnicity, and Teaching Style*  
Department of Psychology  
University of Houston-Downtown  
\$9,300

**Alison L. Bryant**

*Explaining Links between Academics and Adolescent Substance Use: Psychosocial and Motivational Perspectives*  
College of Education  
University of Missouri - Columbia  
\$35,000

**Elizabeth Anne Cole**

*The History Education and Reconciliation Project*  
Education and Studies  
Carnegie Council on Ethics and International Affairs  
New York, NY  
\$35,000

**William A. Corsaro**

*Italian and American Children's Transition from Preschool to Elementary School*  
Department of Sociology  
Indiana University  
\$35,000

**Anna-Lisa Cox**

*Educating for Equality in a Mixed-Race Nineteenth-Century Rural Michigan Community*  
Newberry Library  
Chicago, IL  
\$34,900

**Douglas B. Downey**

*Are Schools the Great Equalizer? School and Non-School Influences on Socioeconomic and Black/White Gaps in Reading Skills*  
Department of Sociology  
Ohio State University  
\$34,950

**Roger M. Downs**

*The Creation of School Geography in America*  
Department of Geography  
Pennsylvania State University  
\$34,450

**Paula England**

*Sex Segregation in Doctoral Fields: Trends and Consequences*  
Department of Sociology  
Northwestern University  
\$34,350

**John Fea**

*Rural Enlightenments: Protestant Order and the Making of Americans in the Early Delaware Valley Countryside*  
Department of History  
Messiah College  
\$2,000

**Bruce Fuller and Seeta Pai**

*Child Care Struggles: Cultures, Markets, and the End of Modern Institutions?*  
School of Education  
University of California, Berkeley  
\$35,000

**Thomas C. Hatch**

*Building the Capacity to Establish and Sustain Coherent School Reform*  
Carnegie Foundation for the Advancement of Teaching  
Menlo Park, CA  
\$35,000

**Jennifer Imazeki**

*School Revenue Limits and Teacher Salaries*  
Department of Economics  
San Diego State University  
\$34,340

**Janice E. Jackson**

*Border Crossers: Bridging the Great Divide Between Research and Practice*  
Lynch School of Education  
Boston College  
\$34,710

**Lewis R. Johnson**

*Self-Monitoring Intervention for Young Children with ADHD*  
Department of Specialized Education Services  
University of North Carolina at Greensboro  
\$22,900

**Connie Juel**

*Project EVE: A Study of Vocabulary Enrichment*  
Human Development & Psychology  
Harvard University  
\$35,000

**Jane Junn**

*How Well do Reputational Assessments Approximate the Quality of Ph.D. Programs?*  
Association of American Universities  
Washington, DC  
\$35,000

**Thomas E. Keller**

*How School-based Mentoring Addresses Psychosocial Barriers to Learning*  
School of Social Service Administration  
University of Chicago  
\$35,000

**Patrick F. Kenealy**

*Similarities Between Science Learning and Adult Second-Language Acquisition: Research on Students' Communication Strategies in Introductory Physical Science*  
Department of Physics  
California State University, Long Beach  
\$34,750

**Kevin M. Kruse**

*White Flight: Race and Place in Atlanta*  
Department of History  
Princeton University  
\$35,000

**Gloria J. Ladson-Billings**

*Beyond the Big House: Life Stories of African American Teacher Educators*  
Department of Curriculum and Instruction  
University of Wisconsin-Madison  
\$35,000

*Small Grants*

**Kevin M. Leander**

*A Connective Ethnography of Adolescent Communication Practices Across Online and Offline Contexts*  
Department of Teaching and Learning  
Vanderbilt University  
\$35,000

**Valerie E. Lee**

*Optimal Educational Contexts for Low-Income Children*  
School of Education  
University of Michigan  
\$34,770

**Christine Liddell**

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

**Xiufeng Liu**

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

**Bridget Terry Long**

*Community College Attendance as a Pathway to a Baccalaureate Degree*  
Graduate School of Education  
Harvard University  
\$35,000

**Yolanda J. Majors**

*Investigating "Shoptalk" as a Mediatial Tool in Classroom-based, Complex Problem-Solving Tasks*  
College of Education  
University of Georgia  
\$34,950

**David L. McConnell and Charles E. Hurst**

*The Changing Landscape of Learning in Amish Schools and Communities*  
Department of Sociology and Anthropology  
College of Wooster  
\$35,000

**Bryan J. Moseley, Mary E. Brenner and Yukari Okamoto**

*U.S. and Japanese Differences in Rational Number Understanding: A Conceptual Comparison of Multiple and Single Perspective Instructional Approaches*  
Department of Educational and Psychological Studies  
Florida International University  
\$35,000

**Mary J. Oates**

*Education, Gender, and Religion in America: The College of Notre Dame of Maryland, 1895-2002*  
Department of Economics  
Regis College  
\$35,000

**Thomas V. O'Brien**

*You Can't Build a Chimney from the Top: The Life and Work of Joseph Winthrop Holley, 1874-1958, A Biography*  
School of Teaching and Learning  
Ohio State University at Mansfield  
\$34,800

**Lynn Okagaki**

*Ethnic Orientation and Motivation for School among American Indian Adolescents*  
Department of Child Development & Family Studies  
Purdue University  
\$32,900

**Ross D. Parke**

*The Role of Parent and Student Perceptions in the Educational Achievement of Mexican American Students*  
Department of Psychology  
University of California, Riverside  
\$34,950

**Brian Powell**

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

**Lesley A. Rex**

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

**Robert A. Rhoads**

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

**Barry H. Schneider**

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

**John W. Sipple**

*Local School Responses to Increased Graduation Requirements in New York State*  
Department of Education  
Cornell University  
\$35,000

**Amy E. Stambach**

*Faith-based Educational Initiatives Overseas: American Missionaries in East Africa*  
Department of Educational Policy Studies  
University of Wisconsin-Madison  
\$29,800

**Sidney Strauss and Jin Li**

*Teaching as a Natural Cognition: Chinese Mothers and their Young Children*  
Education Department  
Tel Aviv University  
\$35,000

**Jonathan R. H. Tudge**

*Parents' Values and Beliefs and their Children's Activities as a Preparation for School*  
Department of Human Development and Family Studies  
University of North Carolina at Greensboro  
\$34,650

***Small Grants***

**Abigail A. Van Slyck**

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

**Bruce A. VanSledright**

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

**Maris A. Vinovskis**

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

**Susan Watts-Taffe**

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

## FELLOWSHIP AWARDS

### 2003–2004 SPENCER DISSERTATION FELLOWS

**Anna-Ruth Allen**

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

**Marina Aminy**

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

**Flavio S. Azevedo**

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

**Catherine Belcher**

*Bordering On Success: A Portrait of the Calexico Unified School District Since Bilingual Education, 1963-2000*  
Graduate School of Education  
University of Pennsylvania

**Courtney Bell**

*An Unexamined Perspective: Parents' Views of School Choice*  
Department of Teacher Education  
Michigan State University

**Elizabeth Popp Berman**

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

**George Bunch**

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

**Josefa Carpena-Méndez**

*Growing Up Between Letters and Trenches: An Ethnography of Childhood Across Schooling and Work in Rural Puebla, Mexico*  
Department of Anthropology  
University of California, Berkeley

**Julia Johnson Connor**

*Seeking "Free Spaces Unbound": Exploring the Literacy and Social Experiences of Biracial Adolescents Through Biracial Literature*  
College of Education  
University of Illinois at Urbana-Champaign

**Brett Gadsden**

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

**Nicole Marie Gillespie**

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

**Guanglei Hong**

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

**Tracy Pilar Johnson-Messinger**

*Citizen Subjects: Hmong Schoolchildren in Thai Rural Schools*  
Program in Anthropology and Education  
Teachers College, Columbia University

**Stephanie Renee Jones**

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

**Tomoe Kanaya**

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

**Adrienne Shiu-Ming Lo**

*Language Socialization in the Korean American Community*  
Department of Anthropology  
University of California, Los Angeles

**Ofer Malamud**

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

**Angela I. McIver**

*Number Sense: An Exploration of Urban Middle School Students' Numerical Reasoning*  
Graduate School of Education  
University of Pennsylvania

**Michelle Mahealani Morgan**

*"A Model of Womanhood or Manhood": City Teachers in the American Pacific Rim, 1890-1930*  
Department of History  
University of Wisconsin-Madison

**Kimberly Grace Nao**

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

**Tracy Elizabeth Noble**

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

**Shira May Peterson**

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

**Sara Youcha Rab**

*Swirling Students: Exploring Complex Attendance Patterns In Higher Education*  
Department of Sociology  
University of Pennsylvania

## *Spencer Dissertation Fellows*

**Anadelia Alicia Romo**

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

**Regina E. Smardon**

*Learning to Label: Defining School Performance through a System of Professions*  
Department of Sociology  
University of Pennsylvania

**Mike Stieff**

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

**Steven Talmy**

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

**Elizabeth Votruba-Drzal**

*Starting School on Unequal Ground: Environmental Origins of School Readiness and Early Academic Disparities*  
School of Education and Social Policy  
Northwestern University

**Jill Suzanne White**

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

**Robert Frederick Williams**

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

## 2002–2003 AMERICAN EDUCATIONAL RESEARCH ASSOCIATION/SPENCER PRE-DISSERTATION FELLOWS

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

**Keena Arbuthnot**

*High Stakes Testing and the Achievement Gap*  
College of Education  
University of Illinois at Urbana-Champaign

**Roland Coloma**

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

**Jennifer Cromley**

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

**Nathalie Duval-Couëtil**

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

**John Eagle**

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

**Lorraine Evans**

*Work and School Structure and the Professional Development of Teachers*  
Department of Sociology  
University of Georgia

**Emily Klein**

*Teacher Education in the Humanities*  
School of Education  
New York University

**Colin Lasu**

*Information and Communication Technology for Higher Education in Developing Countries: The Impact of Politics, Policy, Economics, and Informational Dynamics*  
Department of Communication  
Ohio University

**Douglas Lee Lauen**

*School Choice and Stratification*  
Department of Sociology  
University of Chicago

**Melinda Mangin**

*Teacher Leadership and Instructional Change*  
Graduate School of Education  
Rutgers, The State University of New Jersey

**Sandra Toro Martell**

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

**Laura K. Muñoz**

*Mexican Schools, Mexican American Teachers in Jim Crow Arizona*  
Department of History  
Arizona State University

**Shira Peterson**

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

**Victoria Pettis**

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

**Catherine Richards Solomon**

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



*AERA/Spencer Foundation Pre-Dissertation Research Fellows*

**Troy Richardson**

*Indigenous Philosophy of Language*  
College of Education  
University of Utah

**Ann Rivera**

*Influence of Out-of-School Engagement  
on Adolescents' Academic Performance  
and Psychosocial Development*  
Department of Psychology  
New York University

**Michael Silverman**

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

**Samuel Y. Song**

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

**Lynda Tisa**

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

**2003 NATIONAL ACADEMY OF EDUCATION/SPENCER  
POSTDOCTORAL FELLOWS**

**Emma K. Adam**

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

**Kimberly A. Alidio**

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

**Elizabeth A. Armstrong**

*An Erotic Curriculum? A Comparative  
Study of Collegiate Sexual Cultures*  
Department of Sociology  
Indiana University

**Hilary C. Barth**

*Foundations of Mathematical  
Understanding: Early Computational  
Ability with Nonsymbolic Quantities*  
Psychology Department  
Harvard University

**Benita C. Blessing**

*The Antifascist Classroom: Education  
in Soviet-occupied Germany, 1945-1949*  
Department of History  
Ohio University

**Christy Brady-Smith**

*Parenting, Early Experiences, and School  
Readiness in Context*  
National Center for Children and Families  
Teachers College, Columbia University

**William J. Carbonaro**

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

**Prudence L. Carter**

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

**Yuk Fai Cheong**

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

**Lindy L. Crawford**

*An Analysis of Process and Product:  
Outcomes of a Statewide Writing Assessment*  
College of Education  
University of Colorado at Colorado Springs

**Eric Dearing**

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

**Paul K. Eiss**

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

**Jennifer Fredricks**

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

**Vincent Goetry**

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

**Clarissa Rile Hayward**

*Cities and Citizens*  
Department of Political Science  
Ohio State University

**Lori Diane Hill**

*Educational Opportunity in Post-Apartheid  
South Africa: An Analysis of Access, Choice,  
and Mobility in the Western Cape Province*  
Population Studies Center  
University of Michigan

**Jesse E. Hoffnung-Garskof**

*Nueba Yol: Aspiration, Empire and Migration  
in Santo Domingo and New York, 1950-1996*  
Department of History  
University of Michigan

## 2003 NAE/Spencer Postdoctoral Fellows

**Mary Ann Huntley**

*Investigating Standards-Based Mathematics Education: A Study of Middle-Grades Students' Algebraic Thinking*  
Department of Mathematical Sciences  
University of Delaware

**Felicia D. Hurewitz**

*Early Mathematical Literacy*  
Center for Cognitive Science  
Rutgers, The State University of New Jersey

**Andrew Jewett**

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

**Carina V. Korostelina**

*Education for Tolerance: Multicultural Setting or Ethnic School?*  
Psychology Department  
National Taurida University  
Simferopol, Ukraine

**Ritty A. Lukose**

*Learning Modernity in a Global World: Education and Youth Culture in Kerala, India*  
Graduate School of Education  
University of Pennsylvania

**Jeff MacSwan**

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

**Daniel A. McFarland**

*Collective Action Dynamics in Classrooms*  
School of Education  
Stanford University

**Shuaib J. Meacham**

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

**Heidi Anne Mesmer**

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

**John M. Nieto-Phillips**

*Education and Americanization in New Mexico and Puerto Rico, 1890s-1940s*  
Department of History  
New Mexico State University

**Lourdes Ortega**

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

**Lorna Rivera**

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

**Beth C. Rubin**

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

**Salvatore J. Saporito**

*Private Choices, Public Consequences: Private School Choices and Racial Segregation in Public Schools*  
Department of Sociology  
College of William and Mary

**Lynn M. Sargeant**

*Music, Education, and Society: Teaching and Learning Music and "Civilization" in Late Imperial Russia*  
Department of History  
California State University, Fullerton

**Parna Sengupta**

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

**David Williamson Shaffer**

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

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

**Anthony S. Bryk**

*Social organization of schools and urban school reform*  
Center for School Improvement  
University of Chicago

**Steven Levitt**

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

**Wim van der Linden**

*Test theory and computer-based testing*  
Department of Educational Measurement and Data Analysis  
University of Twente  
The Netherlands

## INSTITUTIONAL INITIATIVES

### RESEARCH TRAINING GRANTS

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

\* Member, South African Consortium

### DISCIPLINE-BASED SCHOLARSHIP IN EDUCATION GRANTS

**Arizona State University**  
Tempe, Arizona

### CONFERENCE GRANTS RELATED TO RESEARCH TRAINING

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

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

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

## OTHER GRANTS

**Ellen S. Buchwalter**

*A Global Initiative to Promote Respect & Understanding*  
Sesame Workshop  
\$6,000

**Victoria Chou**

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

**Kevin M. Guthrie**

JSTOR-The Scholarly Journal Archive  
\$3,000

**Sally Hillman**

*Support for the American Sociological Association's Annual Meeting*  
American Sociological Society  
\$5,000

**Elizabeth Hollander**

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

**Joseph P. McDonald**

*Studying the Urban High School*  
School of Education  
New York University  
\$4,200

**Samuel J. Meisels**

*Applied Research in Child Development*  
Erikson Institute  
\$50,000

**Hudi Podolsky**

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

**Julieanna L. Richardson**

*The HistoryMakers Education Institute*  
The HistoryMakers  
\$5,000

**Richard Rothstein**

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

**William L. Taylor**

*Equal Opportunity in Education*  
Citizens' Commission on Civil Rights  
\$50,000

**Lisa J. Walker**

*Does Education Research Shape Education Policy?*  
Education Writers Association  
\$15,000

**Vanessa Siddle Walker**

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

**Pamela Barnhouse Walters**

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

**Alexandra Wigdor**

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

**Wendy Woon**

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

## PHILANTHROPIC GRANTS

**Council on Foundations**

Washington, DC  
\$34,600

**Donors Forum of Chicago**

Chicago, IL  
\$17,820

**The Foundation Center**

New York, NY  
\$27,500

**Grantmakers for Education**

Portland, OR  
\$3,000

**Independent Sector**

Washington, DC  
\$12,500

*Other Grants*

**DISSEMINATION GRANTS**

**Barbara A. Hall**

*Special Reporting Series: Educating  
Latinos*  
National Public Radio  
\$50,000

**John Merrow**

*Documentary on American Higher  
Education*  
Learning Matters, Inc.  
\$50,000

**GOOD NEIGHBOR GRANTS**

**John Q. Easton**

*Core Research Activities for the  
Consortium on Chicago School Research*  
Consortium on Chicago School Research  
The University of Chicago  
\$499,100

**Linda Lenz**

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

**Joseph Kahne and John Q. Easton**

*Redesigning High Schools in Chicago:  
Small Schools on a Large Scale - Study  
of the Chicago High School Redesign  
Initiative*  
Mills College, Oakland, CA  
The Consortium on Chicago School  
Research, The University of Chicago  
\$499,900

**Samuel J. Meisels**

*Planning Grant for the Work of the Chicago  
Public Schools Student Assessment  
Commission*  
Erikson Institute  
\$20,000

## SPENCER-SPONSORED CONFERENCES

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

### *The Idea of Testing*

April 30 – May 3, 2002

San Diego, California

and

October 10 – 13, 2002

Half Moon Bay, California

#### Organizing Committee:

James Gee, University of Wisconsin-Madison

Edward Haertel, Stanford University

Pamela A. Moss, The University of Michigan

Diana C. Pullin, Boston College

### *Needs and Opportunities in Education Research*

June 25-27, 2002

Chicago, Illinois

#### Organizing Committee:

Thomas Cook, Northwestern University

Michael J. Feuer, National Research Council

Susan Fuhrman, University of Pennsylvania

Kenji Hakuta, Stanford University

Larry Hedges, University of Chicago

C. Kent McGuire, MDRC

Lorrie Shepard, University of Colorado at Boulder

Marshall S. Smith, The William and Flora Hewlett Foundation

Vanessa Siddle Walker, Emory University

## GRANTEE PUBLICATIONS RECEIVED April 2002 through March 2003

**Karl L. Alexander, Doris R. Entwisle,  
and Susan L. Dauber**

*On the Success of Failure: A Reassessment  
of the Effects of Retention in the Primary  
Grades* (2nd ed.)  
Cambridge University Press  
New York, New York, 2003

**Isabel L. Beck, Margaret G. McKeown,  
and Linda Kucan**

*Bringing Words to Life: Robust Vocabulary  
Instruction*  
The Guilford Press  
New York, New York, 2002

**Ruth A. Berman and Ludo Verhoeven,  
Eds.**

*Written Language and Literacy: Cross-  
Linguistic Perspectives on the Development  
of Text-Production Abilities in Speech and  
Writing*  
John Benjamins Publishing Company  
Philadelphia, Pennsylvania, 2002

**Anthony S. Bryk and Barbara Schneider**

*Trust in Schools: A Core Resource  
for Improvement*  
Russell Sage Foundation  
New York, New York, 2002

**The Century Foundation Task Force on  
the Common School**

*Divided We Fail: Coming Together  
through Public School Choice*  
The Century Foundation Press  
New York, New York, 2002

**John E. Chubb and Tom Loveless, Eds.**

*Bridging the Achievement Gap*  
Brookings Institution Press  
Washington, DC, 2002

**Gary DeCoker, Ed.**

*National Standards and School Reform  
in Japan and the United States*  
Teachers College Press,  
Columbia University  
New York, New York, 2002

**Ann Haas Dyson**

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

**Kieran Egan**

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

**Howard Gardner, Mihaly  
Csikszentmihalyi, and William Damon**

*Good Work: When Excellence and Ethics  
Meet*  
Basic Books  
New York, New York, 2002

**R. Kenneth Godwin and Frank R.  
Kemerer**

*School Choice Tradeoffs: Liberty, Equity,  
and Diversity*  
University of Texas Press  
Austin, Texas, 2002

**Kathleen D. Hall**

*Lives in Translation: Sikh Youth As British  
Citizens*  
University of Pennsylvania Press  
Philadelphia, Pennsylvania, 2002

**George Hillocks, Jr.**

*The Testing Trap: How State Writing  
Assessments Control Learning*  
Teachers College Press,  
Columbia University  
New York, New York, 2002

**Harry Judge**

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

**Liping Ma**

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

**Robert T. Michael, Ed.**

*Social Awakening: Adolescent Behavior  
as Adulthood Approaches*  
Russell Sage Foundation  
New York, New York, 2001

**Michele S. Moses and Gary Orfield**

*Embracing Race: Why We Need Race-  
Conscious Education Policy*  
Teachers College Press,  
Columbia University  
New York, New York, 2002

**Frederick Mosteller and Robert Boruch,  
Eds.**

*Evidence Matters: Randomized Trials  
in Education Research*  
Brookings Institution Press  
Washington, DC, 2002

**Frances Julia Riemer**

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

**Ron Ritchhart**

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

**James E. Rosenbaum**

*Beyond College For All:  
Career Paths for the Forgotten Half*  
Russell Sage Foundation  
New York, New York, 2001

**John L. Rury**

*Education and Social Change: Themes  
in the History of American Schooling*  
Lawrence Erlbaum Associates  
Mahwah, New Jersey, 2002

***Grantee Publications Received***

**Janet Ward Schofield and Ann Locke Davidson**

*Bringing the Internet to School: Lessons from an Urban District*

Jossey-Bass

San Francisco, California, 2002

**Kenneth A. Sirotnik & Associates**

*Renewing Schools & Teacher Education: An Odyssey in Educational Change*

AACTE Publications

Washington, DC, 2001

**Michael W. Smith and Jeffrey D. Wilhelm**

*"Reading Don't Fix No Chevys": Literacy in the Lives of Young Men*

Heinemann

Portsmouth, New Hampshire, 2002

**Bruce VanSledright**

*In Search of America's Past: Learning to Read History in Elementary School*

Teachers College Press,

Columbia University

New York, New York, 2002

**Rhona S. Weinstein**

*Reaching Higher: The Power of Expectations in Schooling*

Harvard University Press

Cambridge, Massachusetts, 2002

**J. Douglas Willms, Ed.**

*Vulnerable Children: Findings from Canada's National Longitudinal Survey of Children and Youth*

The University of Alberta Press

Edmonton, Alberta, Canada, 2002



## Independent Auditor's Report

Board of Directors of  
The Spencer Foundation

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

We conducted our audits in accordance with U.S. generally accepted auditing standards. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe our audits provide a reasonable basis for our opinion.

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

*Altschuler, Melvoin & Glasser LLP*

Chicago, Illinois  
May 12, 2003

Altschuler, Melvoin and Glasser LLP  
One South Wacker Drive, Suite 800, Chicago, Illinois 60606-3392  
312.384.6000 Fax 312.634.3410 [www.amgnet.com](http://www.amgnet.com)

**STATEMENTS OF FINANCIAL POSITION**

(In Thousands of Dollars)

**MARCH 31, 2003 AND 2002**

	<b>2003</b>	<b>2002</b>
<b>ASSETS</b>		
Investments, at market value	\$ 333,650	\$ 412,854
Cash	306	361
Accrued interest and dividends		65
Other assets	1,066	1,087
	<u>\$ 335,022</u>	<u>\$ 414,367</u>
<b>LIABILITIES AND UNRESTRICTED NET ASSETS</b>		
Grants payable	\$ 23,937	\$ 33,405
Accrued expenses	124	12
Accounts payable	144	142
	24,205	33,559
<b>UNRESTRICTED NET ASSETS</b>	<b><u>310,817</u></b>	<b><u>380,808</u></b>
	<b><u>\$ 335,022</u></b>	<b><u>\$ 414,367</u></b>

See accompanying notes.

**STATEMENTS OF ACTIVITIES**

(In Thousands of Dollars)

**YEARS ENDED MARCH 31, 2003 AND 2002**

	<b>2003</b>	<b>2002</b>
<b>INVESTMENT RETURNS</b>		
Net realized gain on sales of investments	\$ 2,518	\$ 79,378
Net change in unrealized loss on investments	(70,796)	(77,930)
Interest income	84	375
Dividend income	12,407	11,621
	<u>(55,787)</u>	<u>13,444</u>
<b>PROGRAM SERVICES</b>		
Grants authorized (grant payments made net of refunds were \$19,963 in 2003 and \$22,509 in 2002)	9,639	12,253
Foundation administered projects	1,125	1,142
Administrative expenses	2,966	3,881
Investment management expenses	580	600
Current federal excise taxes (benefit)	(106)	437
	<u>14,204</u>	<u>18,313</u>
<b>CHANGE IN NET ASSETS</b>	<b>(69,991)</b>	<b>(4,869)</b>
Unrestricted net assets		
Beginning of year	380,808	385,677
<b>End of year</b>	<b><u>\$ 310,817</u></b>	<b><u>\$ 380,808</u></b>

See accompanying notes.

## STATEMENTS OF CASH FLOWS

(In Thousands of Dollars)

**MARCH 31, 2003 AND 2002**

	<u>2003</u>	<u>2002</u>
<b>OPERATING ACTIVITIES</b>		
Change in net assets	\$ (69,991)	\$ (4,869)
Net realized gains on sales of investments	(2,518)	(79,378)
Net change in unrealized loss on investments	70,796	77,930
Changes in		
Accrued interest and dividends	65	112
Other assets	21	3,920
Grants payable	(9,468)	(10,256)
Accrued expenses	112	(2,980)
Accounts payable	<u>2</u>	<u>54</u>
<b>Net cash used in operating activities</b>	<u>(10,981)</u>	<u>(15,467)</u>
<b>INVESTING ACTIVITIES</b>		
Purchases of investments	(12,407)	(149,521)
Proceeds from sales of investments	<u>23,333</u>	<u>130,343</u>
<b>Net cash provided by (used in) investing activities</b>	<u>10,926</u>	<u>(19,178)</u>
<b>INCREASE (DECREASE) IN CASH</b>	(55)	(34,645)
<b>CASH</b>		
Beginning of year	<u>361</u>	<u>35,006</u>
<b>End of year</b>	<u>\$ 306</u>	<u>\$ 361</u>

See accompanying notes.

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

**NOTE 1 NATURE OF ACTIVITIES AND SIGNIFICANT ACCOUNTING POLICIES**

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

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

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

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

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

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

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

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

**NOTE 2 INVESTMENTS**

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

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

**NOTE 3 GRANTS PAYABLE**

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

2003	\$ 849,000
2004	12,067,000
2005	6,226,000
2006	2,895,000
2007	1,900,000
	<u>\$ 23,937,000</u>

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

**NOTE 4 UNRESTRICTED NET ASSETS**

Unrestricted net assets are comprised of the following amounts:

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

**NOTE 5 RETIREMENT PLANS**

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

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

**NOTE 6 COMMITMENTS**

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

2004	\$ 458,000
2005	465,000
2006	473,000
2007	481,000
2008	478,000
Thereafter	340,000
	<u>\$ 2,695,000</u>

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