Lyle M. Spencer liked to describe himself as “a businessman looking in over the rim of education;” and 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.”
The Spencer Foundation Annual Report was prepared by the officers and staff of the Foundation with Ines M. Milne as Editor and Patrick M. Sheahan as Managing Editor. It was produced by Wicklander Printing Corporation, Chicago, Illinois. The display type and text is Palatino by Adobe. ©1997 The Spencer Foundation, Chicago, IL. All rights reserved.
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Dixie Goswami
Diane Waff

1 deceased February 22, 1997
2 term and service as Board Chair expired January, 1997
3 term and service as Board Vice Chair expired January, 1997
4 through August 31, 1997
5 as of September 1, 1997
6 Treasurer as of July 1, 1997
Lyle M. Spencer
1911-1968

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

Lyle Spencer established the foundation that bears his name in 1962, with the mandate of investigating ways in which education, broadly conceived, might be improved around the world. The Foundation received its major endowment in 1968 following the founder’s death. Since that time, it has authorized grants totaling approximately $182 million. Its assets as of March 31, 1997, were $359 million.
THE PRESIDENT’S COMMENTS
Patricia Albjerg Graham

As we begin our twenty-sixth year at the Spencer Foundation, we find that much of our energies currently are focused upon extending our programs to assist junior scholars. In no sense have we diminished our commitment to senior scholars through our Major and Small Research Grants Programs, which continue at record levels of expenditure and with extraordinary assistance and guidance from our Program Advisory Committee. But we have broadened and deepened our support for the preparation of a new generation of scholars because we have become concerned that in the atrophy of other research funds for education, the beginning scholars will suffer before the senior ones. Unless research skills are developed and used at the beginning of a career, they are not likely to emerge in the middle or latter stages of one’s professional life. Thus, an emphasis upon support and sustenance of beginning scholars seems particularly important to us since the future of research about education rests on them.

Our attention has concentrated on our initial program for young scholars, the Postdoctoral Fellowship Program administered by the National Academy of Education, which has now completed ten years of activity. In addition, this year we have committed $11.2 million over five years to the Research Training Grants Program and have added four universities (Berkeley, Michigan State, Pennsylvania, and Teachers College, Columbia) to the group (Harvard, Michigan, Stanford, UCLA, and Wisconsin) we are aiding with fellowships for future researchers in their graduate schools of education. We also select annually several university professors (mentors) who excel at supervising doctoral students working on subjects related to education and permit them to allocate funds to their doctoral students as discretion and need determine. Demand for evaluations of education programs has increased dramatically over the last decade, but imaginative and accurate modes of inquiry for understanding them have not, and this gap has led us to support a cross-faculty program at Harvard for the preparation of postdoctoral scholars in the research and practice of evaluation. We continue to support doctoral fellowships for students not attending the Research Training Grant institutions (administered by the American Educational Research Association) and fellowships at the Center for Advanced Study in the Behavioral Sciences, particularly summer programs for junior scholars. Finally, we ourselves administer fellowships for doctoral students completing their dissertations. From this program, particularly, we are learning a great deal about the professional lives of beginning scholars. We continue to develop ways in which they can deepen and extend their professional relations with each other both during and after the fellowship. These findings are especially helpful to us in designing and informing our other programs.

The single most important finding from our junior scholar experience is that context makes a difference: some settings seem much more conducive to research than others. Another way of expressing the same well known finding is that a concentration of intellectually engaged and professionally committed scholars provides a fruitful environment for nourishing researchers, particularly at the beginning of their careers. For example, the recent study of the recipients of the National Academy of Education Postdoctoral Fellowships by Beth Gamse and Dylan Conger of Abt Associates, which was commissioned by the Spencer Foundation in 1996, revealed that 54
percent of the Fellows selected by the National Academy of Education Selection Committees received their doctorates from six universities (Harvard, Stanford, Chicago, Berkeley, Michigan, and Wisconsin). Another eight universities (Michigan State, UCLA, Yale, Pittsburgh, Princeton, Pennsylvania, Illinois, Columbia, and Washington) accounted for an additional 18 percent of the Fellows. The graduate institutions of the Dissertation Fellows, selected by an outside committee, reveal a similar pattern. Fifty percent of the 161 Fellows chosen between 1993 and 1997 came from seven institutions (Berkeley, Chicago, Stanford, Harvard, Michigan, North Carolina, and Indiana). Another four universities (Columbia, Wisconsin, UCLA, and Pennsylvania) accounted for an additional 11 percent of the Fellows.

This pattern of concentration of awards at a relatively few universities is also discernible though not as starkly in the major grants program. Six institutions (Harvard, Stanford, Chicago, Berkeley, Michigan, and Wisconsin) have accounted for about 30 percent of our grants over our twenty-six year history. Five others (UCLA, Johns Hopkins, Illinois, Columbia, and Washington) encompass about 13 percent of the grants awarded during this period. The concentration has been somewhat less evident in recent years than in previous ones. The remaining grants go to scholars at an immense variety of institutions, both in the United States and abroad.

A complete listing of all our previous awards can be found in our Annual Report for our twenty-fifth year (1996), which is available both in print and on our web site http://www.spencer.org. Our annual reports include a list of all awards made during the year of the report.

The principal conclusion we draw from this analysis is the power of graduate school in enabling or thwarting one as a researcher. Clearly not all doctoral students want research careers, and for them the ambiance of a potent research institution may not be as important to their education. Just as clearly some individuals who did not attend such institutions subsequently become outstanding researchers.

Graduate school plays a central role both in academic preparation and professional socialization. The experience of full-time study with other full-time graduate students, as well as with faculty, is absolutely critical in creating the research culture and informal set of exchanges through which most scholars develop their sensibilities and skills. A scholarly career is not likely to evolve from assorted courses, miscellaneous term papers, the odd comprehensive examination, and a tortuously conceived and written thesis, all wedged into a life of a full-time or several part-time jobs at a time when family related decisions are also emerging. Rather, scholarly work requires time: time to think, time to read, time to observe, time to reflect, time to write.

At Spencer we worry enormously about the relatively few extremely potent institutional preparers of researchers. We recognize the advantage of a graduate student who is fortunate enough to live in a state with an excellent public university, such as California, Michigan or Wisconsin and able to attend it on a full-time basis. Similarly we regrettably observe the disadvantage of the individual situated in a setting remote from such distinguished scholarly activity. The fellowships administered by the American Educational Research Association are designed specifically to reach persons not enrolled in the most favored institutions.

For an immense variety of reasons, many extraordinarily gifted individuals, both faculty and students, are affiliated with colleges and
universities that are not as conducive to sustained intellectual inquiry or rigorous research as they might be. The difficulty for them of overcoming this institutional hurdle is great indeed. We hope to learn more from the experience especially of the American Educational Research Association with its doctoral fellowship program and of our Program Advisory Committee for our Major Grants Program to aid us as we continue our efforts to address this issue over the next several years.

Too much research preparation, particularly in education, is done on the cheap with the concurrence of institutions, which accommodate large enrollments (and large faculties) without adequate support for either. Students can not or do not commit to full-time study; faculty initially believe that frequent publication and outside grants are more important than profound research. Too often in such situations faculty succumb to promising more research products than can possibly be accomplished well and then either submitting partially completed work or suffering research paralysis in the midst of an overly ambitious research agenda. A measure of intellectual self-confidence is necessary for the active scholar to say “no” to the invitation to write a chapter for a forthcoming book, to give a named lecture, to participate in a national panel. Beginning scholars believe they will never be asked to make such contributions and hence must accept anything that is offered. More mature scholars need to learn new habits of declination, and too many do not find reinforcement for such actions from their universities, which anticipate prestige accruing to them from their over-extended faculty’s activities.

Those universities which make a significant effort to fight these prevalent academic tendencies, to prepare graduate students thoroughly, and to support a vigorous intellectual life among their faculty, create conditions on their campuses in which research can and often does flourish. Undoubtedly this explains the concentration of a relatively small number of research universities in the institutions receiving the bulk of Spencer funds.

Nearly all of the recipients of our postdoctoral fellowships did their graduate work in major research universities but many are now teaching in a much greater variety of settings. Hence, we are particularly eager for the National Academy of Education to provide a variety of seminars and other activities that will nourish these young scholars in their professional careers. Contact with active researchers, both junior and senior, seems a powerful means of professional support for getting an independent research trajectory established. While innate commitment to inquiry is essential for the researcher, some institutional and extra-institutional support and expectation are also helpful. Spencer specializes in the latter.

In short, we at Spencer are seeking ways to be helpful both in supporting individual scholars committed to investigating questions related to education and in developing communities of inquiry which encourage rigorous, imaginative, and resourceful research about educational issues. We believe that scholars at the beginning of their professional careers are particularly vulnerable to assaults on their time and energies that interfere with their evolving research. Hence, we hope that through the cooperation of senior scholars we will be able to foster activities that will be helpful to the young and invigorating to the more established scholars.

Patricia Albjerg Graham
August 25, 1997
In the fiscal year ending March 31, 1997, the Foundation made payments on grants and fellowships totaling $14.9 million. These payments included $6.2 million in the fellowship programs and $8.7 million in the research and other grant programs. The Foundation continued its commitment to educational research by authorizing 203 new grants and fellowships totaling $24.8 million. These payments and authorizations were allocated to the following programs:

the Major Research Grants Program, responding to research projects longer than one year in duration and requiring more than $12,000 in grant support;

the Small Research Grants Program, responding to research projects up to one year in duration and with cost requirements of $12,000 or less;

the John D. and Catherine T. MacArthur Foundation/Spencer Foundation joint research and documentation program for professional development, which supports research studies analyzing policies and practices which appear to be successful in furthering the professional development of adults working in schools;

the Practitioner Research Communication and Mentoring Grants Program, an experimental program to support communications and networking among practitioner researchers;

the Spencer Dissertation Fellowship Program, offering approximately 30 fellowships for completion of the dissertation to graduate students conducting research related to education who have completed all other requirements for the doctoral degree;

the National Academy of Education/Spencer Postdoctoral Fellowship Program, offering approximately 30 postdoctoral fellowships for scholars within five years of the award of their doctoral degree and;

Scholars in Residence at the Center for Advanced Study in the Behavioral Sciences.

In addition to these ongoing programs, the Foundation supports, on a severely limited basis, the convening of working groups of researchers addressing the concerns of specific areas of educational research. Such support is usually at the initiative of the Foundation.

Finally, the Foundation continues to experiment with ways in which the early stages of doctoral study in the field of education might be supported and methods by which research results might be more broadly disseminated. Current projects include the Research Training Grants Program and the Spencer Mentor Awards. Because they are intended as experiments, these projects are conducted solely at the invitation of the Foundation.

More information on specific programs, as well as a description of the Foundation’s review processes, can be found beginning on page 10.

In all of its activities, the Foundation staff benefits enormously from the advice and guidance of others. In perhaps the foremost instance, our active and engaged Board of Directors sets policy and makes final decisions on grants.

The Program Advisory Committee for the Major Research Grant Program brings expertise from different disciplines to the review of proposals and to the identification of appropriate peer reviewers for individual projects. The Professional Development Research Advisory Committee performs the same function for our joint program with the MacArthur Foundation, as does the Practitioner Research Communication and Mentoring Advisory
Committee for our grants in that program. The membership of these committees is listed on page 3; and we are deeply grateful for the thought and time they devote to strengthening our review process.

We could not operate a field-initiated research grant program without the willingness of scholars in the many disciplines and fields we support to serve as peer reviewers. In the last fiscal year, 246 scholars served as reviewers. We are grateful for their interest in furthering strong projects in educational research.

In a parallel fashion to the research advisory committees, the Foundation’s Dissertation Fellowship Selection Committee, whose membership is also listed on page 3, did yeoman work in identifying the 1997 recipients of these fellowships from an excellent field of 614 applicants. Additionally, the Committee continued to provide useful guidance on ways to build communication among the fellowship recipients and between them and established scholars.

In this final report, as I relinquish my role as Vice President of the Spencer Foundation to assume that role at the Carnegie Foundation for the Advancement of Teaching, I must record both my long-standing and my current indebtedness to the Board, the President, the staff and the grantees of the Spencer Foundation. Over a period of five years, they have educated me with unparalleled warmth, charity and intelligence. I shall miss the association enormously, but I hope to apply what I have learned at Spencer in ways useful and beneficial to Carnegie.

John H. Barcroft
Vice President
GENERAL SCOPE OF SUPPORT

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

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

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

RESEARCH PROGRAMS

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

MAJOR RESEARCH GRANTS

The Foundation’s Major Research Grants Program responds to research projects requiring more than $12,000 in grant support. Spencer funds widely varied research projects, ranging from medium-sized studies that can be completed in a year by an individual researcher to more extensive collaborative studies that last several years.

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

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

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

Application Procedure. Since the Foundation does not usually 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 1500 words in length. Within those limits, we request the following information:

• a brief description of the project and the new knowledge expected to result from it;
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• a concise summary of the research methodologies, modes of analysis, and/or instruments which the project will employ;

• a clear identification of the principal investigator(s) and a clear definition of the roles the principal investigator(s) and any supporting researcher(s) will play;

• an estimate of the timeframe for the project and the approximate cost, including the approximate amount to be sought from the Spencer Foundation.

Attachments must include:

• phone number(s) and/or fax number(s) where principal investigator(s) may be reached;

• the curriculum vitae of the principal investigator(s).

Inquiries and preliminary proposals are welcome at any time and should be addressed to:

SMALL RESEARCH GRANTS

The Foundation’s Small Research Grants Program supports research projects with grant budgets of $12,000 or less and of one year or less in duration. It offers a unique opportunity to researchers and teachers in a broad range of institutions who are engaged in educational research. The program is appropriate for modest-sized research projects, exploratory studies, specific phases of larger investigations, and projects which arise in response to unusual opportunities. The Small Research Grants Program encourages researchers with diverse perspectives to develop ideas and approaches which extend the conventional boundaries of a research question, area, or method. The program supports individual efforts as well as collaborations.

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

Restrictions. Grants made under the program range from $1,000 to an upper limit of $12,000. Projects may not extend beyond a year in duration. Grantees are not permitted to receive two research grants simultaneously from the Spencer Foundation. Please note that the Foundation does not pay government-approved indirect cost rates on research grants, and it prefers not to pay indirect costs in the Small Research Grants Program. Researchers seeking support for their doctoral dissertation should apply to the Spencer Dissertation Fellowship Program.

Application Procedure. Unlike the Major Research Grants Program, a preliminary proposal is not required. Proposals for support from the Small Grants Program should be in the form of a statement with attachments. The statement should not exceed 1500 words in length (approximately five double-spaced pages) and provide clear information on the following:

• a concrete description of the proposed research project;

• a brief summary of the relevant literature and of how the research question relates to existing knowledge;

• the methodologies and modes of analysis to be employed in the project;

• the role of the researcher(s);

• the new knowledge about education expected to result from the project;

• the potential contribution of that new knowledge to the improvement of education.

The attachments should include:

• a one-paragraph summary of the project, written for the interested informed lay person;

• a detailed budget for the project;

• approval of the budget from the appropriate financial officer of the institution;

• a full curriculum vitae of the principal investigator(s);

• phone number(s) and/or fax number(s)
where the researcher(s) may be reached.

Two copies of the proposal and attachments are requested.

Insofar as feasible, proposals which include all the information requested above will be acted upon within approximately three months of receipt by the Foundation. Proposals are welcome at any time and should be addressed to: Small Research Grants Program, The Spencer Foundation, 900 North Michigan Avenue, Suite 2800, Chicago, Illinois 60611-1542.

PROFESSIONAL DEVELOPMENT RESEARCH AND DOCUMENTATION PROGRAM

The Professional Development Research and Documentation Program supports studies on the professional development of adults working in elementary and secondary schools. Sponsored jointly by the John D. and Catherine T. MacArthur Foundation and the Spencer Foundation, the Program seeks to support research that identifies proven professional development strategies, conditions, and/or policies that foster the development of the knowledge and skills required for effective teaching. Grants range from $5,000 - $50,000 annually.

Funding Priorities. Studies are sought that will aid educators, policymakers, and school communities in understanding, establishing and sustaining effective professional development, particularly of teachers and administrators.

Eligibility. Practitioners, researchers and policy analysts in education, as well as other fields, and community-school partners are eligible individually or in groups. Applicants must be affiliated with a not-for-profit agency through which funds will be distributed. Studies focused on preservice teacher education programs are not eligible.

For Information. A brochure describing application procedures for the Professional Development Research and Documentation Program is available from the Foundation. Inquiries should be directed to: Professional Development Research and Documentation Program, The Spencer Foundation, 900 North Michigan Avenue, Suite 2800, Chicago, Illinois 60611-1542.

PRACTITIONER RESEARCH COMMUNICATION AND MENTORING GRANTS

The Practitioner Research Communication and Mentoring Grants are intended to:

• establish or strengthen channels for rigorous examination and discussion of the characteristics of, and knowledge produced by, well-constructed teacher research and

• provide teacher researchers with the opportunity to enhance their research skills through consultation with others in the teacher research and/or traditional academic communities.

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

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

For Information. A brochure with more detailed information on funding priorities, eligibility, grant deadlines, and application procedures is available from the Foundation. Inquiries should be directed to: Practitioner Research Communication and Mentoring Program, The Spencer Foundation, 900 North Michigan Avenue, Suite 2800, Chicago, Illinois 60611-1542.
FELLOWSHIP PROGRAMS

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

DISSERTATION FELLOWSHIP PROGRAM FOR RESEARCH RELATED TO EDUCATION

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

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

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

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

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


NATIONAL ACADEMY OF EDUCATION/ SPENCER POSTDOCTORAL FELLOWSHIP

Administered by the National Academy of Education, the Spencer Postdoctoral Fellowships are designed to promote scholarship in the United States and abroad on matters relevant to the improvement of education in all its forms. Scholars anywhere in the world who have completed their doctorate within the last five years, and who wish to conduct research related to education, may apply.
Inquiries concerning the Postdoctoral Fellowship Program should be addressed to: The National Academy of Education, Stanford University, School of Education, CERAS Building, Room 108, Stanford, California 94305-3084.

**AERA/SPENCER RESEARCH TRAINING FELLOWSHIPS**

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

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

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

Inquiries should be addressed to: Director, Center for Advanced Study in the Behavioral Sciences, 202 Junipero Serra Boulevard, Stanford, California 94305.

**INVITATIONAL PROGRAMS**

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

**THE REVIEW PROCESS**

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

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

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

The Spencer Foundation supports research and fellowships which give promise of yielding new knowledge leading to the improvement of education. This work is divided into two main categories: Research Programs and Fellowship Programs. Grants authorized under these programs during this year are listed on pages 16 - 28, and ongoing grants appear on pages 29 - 32.
MAJOR RESEARCH GRANTS

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

Kathryn H. Au
The Successful Education of Hawaiian Children: A Study of Preservice and Mentor Teachers
College of Education
University of Hawaii
$192,100 over three years

Barbara R. Beatty
Teaching Teachers: A History of American Teacher Education
Department of Education
Wellesley College
$77,800 over fifteen months

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

Roger Benjamin, Lorraine M. McDonnell, and P. Michael Timpane
The Democratic Purposes of Education
Institute on Education and Training
The RAND Corporation
$124,900 over one year

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

David Bloome and Susan R. Goldman
Using Multiple Texts for Academic Learning: Social and Cognitive Perspectives
Department of Teaching and Learning
Vanderbilt University
$532,900 over three years

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

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

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

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

Donna Christian
Second Publication of Comparative Data from Phase I of the Language Education Study
Center for Applied Linguistics
$28,000 over five months

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

Wolfgang Edelstein
International Workshop on School Transformation
Center for Development and Socialization
Max Planck Institute for Human Development and Education
$23,000 over one year

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

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

Frank Furstenberg
Longitudinal Study of Eighth Graders in Philadelphia Schools
Department of Sociology
University of Pennsylvania
$25,000 over six months

Ann G. Gold and Bhoju R. Gujar
Environmental Knowledge in Rajasthan: Learning and Teaching in Contrasting Contexts
Department of Religion
Syracuse University
$49,750 over one year

Esther N. Goody
Authority and Effective Learning in Northern Ghana
Department of Social Anthropology
University of Cambridge
$232,900 over three years

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

G. Alfred Hess
Strengthening the Links Between Communities and Schools
School of Education and Social Policy
Northwestern University
$300,000 over three years

Harry Judge
The State, Schools and Religion
Brasenose College
University of Oxford
$37,000 over one year

Richard Kahlenberg
Research and Writing of a Book Examining Inequality of Educational Opportunity
Center for National Policy
$25,000 over six months
John F. Kain
Minority Suburbanization and the Achievement of Minority Students
Department of Economics
Harvard University
$214,900 over two years

Mary Kelley, Ellen Fitzpatrick, and Barbara Sicherman
Conference on Women’s Intellectual History
Department of History
Dartmouth College
$13,000 over five months

Helen Ladd and Jens Ludwig
Supplemental Funding for the Project “The Impact of the Moving to Opportunity Experiment on the Educational Opportunities and Outcomes of Children”
Sanford Institute of Public Policy
Duke University
$15,800 over six months

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

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

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

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

Margaret A. M. Murray
Factors Contributing to Women’s Success as Professional Mathematicians: The Doctoral Classes of 1940-1959
Department of Mathematics
Virginia Polytechnic Institute and State University
$55,100 over fifteen months

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

Norman Nie
Educational and Social Outcomes Research Analysis
Department of Political Science
University of Chicago
$20,000 over one year

John U. Ogbu
Cultural Models and Educational Strategies
Department of Anthropology
University of California, Berkeley
$94,600 over one year

Gary Orfield and Christopher F. Edley, Jr.
Conference on The Future of Affirmative Action in Higher Education
Graduate School of Education
Harvard University
$10,000 over six months

Harold A. Richman and Joan R. Wynn
Furthering Education: The Relationship of Schools and Other Institutions
Chapin Hall Center for Children
University of Chicago
$320,000 over two years

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

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

Dorothy Ross
Conference on The History of the Social and Behavioral Sciences Since the Late Nineteenth Century
The Woodrow Wilson International Center for Scholars
$30,000 over one year

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

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

The Spencer Foundation Major Research Grants Program is administered by the Spencer Foundation. Inquiries may be directed to: Vice President, The Spencer Foundation, 900 North Michigan Avenue, Suite 2800, Chicago, IL 60611-1542.

SMALL RESEARCH GRANTS

Karen Alford
How Writing Affects Thinking and How Sharing Writing Affects the Community of the Classroom
Audubon Montessori School, New Orleans, Louisiana

Jeffrey J. Arnett
Mexican-American Perspectives on the Transition to Adulthood
Department of Human Development and Family Studies
University of Missouri-Columbia

Margarita M. Azmitia and Catherine R. Cooper
Are Mexican-Descent Students Academic Mentors for their Younger Siblings?
Psychology Department
University of California, Santa Cruz

Alexander G. Bearn
Medical Influence of the Regius Professors of Physics on Medical Practice in the U.K.
Department of Medicine
Rockefeller University
Small Research Grants

David Bjorklund  
Social Construction of Simple Arithmetic Strategies in Young Children  
Department of Psychology  
Florida Atlantic University

Camille L.Z. Blachowicz and Peter J.L. Fisher  
Constructing a Framework for Analyzing Clinical Reflection: Reading Specialists Reflect on Clinical Instruction  
National College of Education  
National-Louis University

Nancy W. Brickhouse  
Girls’ Engagement With/In Science  
Department of Educational Development  
University of Delaware

Michael J. Brien  
Work During High School and Academic Achievement  
Department of Economics  
University of Virginia

David C. Brotherton and Luis Barrios  
Homeboys, Homegirls and Schooling: A Comparative Case Study of Gang Members Experience of Education  
Department of Sociology  
John Jay College of Criminal Justice City University of New York

Susan F. Callahan  
The Effects of the Kentucky Portfolio Assessment on One High School English Department  
English Department Northern Illinois University

Eamonn Callan  
The Dilemma of Political Education in a Liberal Democracy  
Department of Educational Policy Studies  
University of Alberta

Steven H. Chaffee  
Instructional Factors Affecting Political Socialization Effects of “El Diario en la Escuela” in Argentina  
Department of Communication  
Stanford University

Maria Charles  
Human Capital Development and Occupational Sex Segregation in Comparative Perspective: The Impact of Educational Structure  
Department of Sociology  
University of California, San Diego

Scott R. Christian  
A Tripartite Case Study of the Implementation of an Authentic Assessment  
Juneau Douglas High School, Juneau, Alaska  
Write to Change, Inc.

Thomas Dixon Cook, Melinda Scott Krei, and Stephanie Alter Jones  
College for All: Expectation and Choice in High School Students’ Post-Secondary Planning  
Center for Urban Affairs and Policy Research  
Northwestern University

Helen Damon-Moore  
Gender and Service through History Women’s Studies  
Cornell College

Verda Delp  
Resource Mapping and Log Writing  
Willand Junior High School, Berkeley, California  
Berkeley Public Education Foundation

Melissa E. DeRosier  
Teacher Influences on the Negative Impact of Peer Rejection on Children’s Academic and Behavioral Functioning  
Graham Child Development Center  
University of North Carolina at Chapel Hill

Ruben Donato  
Mexican-American Education in Southern Colorado, 1920-1954  
School of Education  
University of Colorado at Boulder

Eric Durbrow  
Refining Prediction of Caribbean Children’s Academic Performance  
Institute of Child Development  
University of Minnesota

Patricia A. Edwards  
Examining Instructional Dialogues Used in Parent-Teacher Conferences  
Department of Teacher Education  
Michigan State University

Terrie L. Epstein  
Historical Understanding Among Eighth-Grade African-American and European-American Adolescents  
School of Education  
University of Michigan

Walter Feinberg  
An Examination of the Philosophical Foundation of Affirmative Action: Educational Implications  
Department of Educational Policy Studies  
University of Illinois at Urbana-Champaign

John Fitz  
A Study of Local Response to National Assessment in England and Wales  
School of Education  
University of Wales, Cardiff

Julie A. Foertsch  
CIC Summer Research Opportunity Programs: The First Ten Years  
LEAD Center  
University of Wisconsin-Madison

Anastasia J. Gage  
Schooling and Child Labor in Ghana: Family Strategies and Gender Roles  
Department of Sociology Pennslyvania State University

Scott David Gest  
Reading Skill Development and Classroom Adaptation from Kindergarten to Second Grade  
Center for Developmental Science University of North Carolina at Chapel Hill

Gerald Grant  
Teaching in America: A Slow Revolution  
Cultural Foundations of Education  
Syracuse University

Wendy Haight  
The Role of Parent-Child Pretend Play in Facilitating Young Children’s Entry into Pretend Play with Peers  
School of Social Work  
University of Illinois at Urbana-Champaign

David Torrey Hansen  
Creating Class in Childhood: Cultural Definitions of Bourgeois and Worker in Nineteenth-Century French Nursery Schools  
Department of History  
University of Akron

Stephen L. Harp  
Creating Class in Childhood: Cultural Definitions of Bourgeois and Worker in Nineteenth-Century French Nursery Schools  
Department of History  
University of Akron
Jennifer Helms
Telling the Lives of Women Science Teachers: Exploring the Relationships Among Science, Gender, and Science Teaching
School of Education
University of Colorado at Boulder

Suzen Hoy
Teaching Black Girls: Catholic Sisters in Chicago's South Side High Schools, 1948-1973
Department of History
University of Notre Dame

Carol S. Huntsinger and Paul E. Jose
Achievement, Stress, and Psychosocial Adjustment of Chinese-American and Euro-American Adolescents
Department of Psychology
Loyola University of Chicago

Carol S. Huntsinger and Paul E. Jose
Is Early Formal Mathematics Instruction Linked to Lower Creativity and Emotional Problems?
Department of Psychology
Loyola University of Chicago

Carol Jenkins
Intertextuality in Children’s Nonfiction Writing
School of Education
Boston University

Peter H. Kahn, Jr. and Orlando Lourenco
Air, Water, Fire and Earth: A Developmental Study of Environmental Conceptions and Values
Program in Education and Human Development
Colby College

Gregory J. Kelly
Exploring What Counts as Science: An Analysis of the Discourse Practices in a Physics Classroom
Graduate School of Education
University of California, Santa Barbara

Alan C. Kerckhoff
Antecedents and Consequences of Types of Postsecondary Vocational Education
Department of Sociology
Duke University

Michael S. Kimmel
Determinants of Success for Women in Military Educational Institutions: A Historical Perspective on Future Prospects
Department of Sociology
State University of New York at Stony Brook

David A. Kinney
The Making of an Academic Epiphany: Delineating Student Transformation at a Successful Alternative School
Department of Sociology, Anthropology and Social Work
Central Michigan University

Louise Knight
The Prospects and Perils of Self-Education: Jane Addams in the 1880s
Spertus Institute, Chicago, Illinois

Anne M. Knupfer
“To Become Good, Self-Supporting Women:” Delinquent Girls and their Re-Education in Progressive-Era Chicago
Department of Educational Studies
Purdue University

Joanne Larson
Informing the Debate Over Whole Language and Phonics Pedagogies: An Ethnographic Study of Situated Language and Literacy Practices
Warner Graduate School of Education and Human Development
University of Rochester

Elizabeth A. Lee, Valerie Anderson, and Carl Bereiter
Improving Adolescents’ Understanding of the Reading-Writing Process
Ontario Institute for Studies in Education
University of Toronto

Valerie E. Lee
School Members Reflect on the Meaning of High School Size
School of Education
University of Michigan

Xin Ma
Dropping Out of Mathematics: How Much Do Students and Schools Contribute to the Problem?
Atlantic Centre for Policy Research in Education
University of New Brunswick

Victoria Maria MacDonald
Exploring and Directing the Complex Historiography of Hispanic American Education
Department of Educational Foundations and Policy Studies
Florida State University

Nancy K. Mack
Cognitive Restructuring and Understanding Multiplication and Division of Fractions
School of Education
University of Pittsburgh

Kathleen Mahoney
Modernity and the Education of American Catholics
Center for the Study of Religion and American Culture
Washington University

Susan J. Maller
Differential Item Functioning in the WISC-III: Item Parameters for Boys and Girls in National Standardization Sample
College of Education
University of South Florida

William E. Marsden
Two Hundred Years of Geography Teaching
Department of Education
University of Liverpool

Mary Haywood Metz
Teaching in the Other America: The Impact of Poor Urban Communities on Teachers’ Practice in Two High Schools
Department of Educational Policy Studies
University of Wisconsin-Madison

Carol Midgley
Assessing the Classroom Goal Structure: Using Classroom Observations to Supplement Survey Data
School of Education
University of Michigan

Richard Miech
Educational Attainment and Psychiatric Disorders
Department of Sociology
University of Wisconsin-Madison

Johnetta Wade Morrison
Ethnic Identity Development in Children of Black and White Parentage
Department of Human Development and Family Studies
University of Missouri-Columbia
### Small Research Grants

**Martin John Packer**  
Systemic School Reform and Community Transformation  
Duquesne University

**Katherine Schultz and James E. Davis**  
After Desegregation: Students and Teachers Talk about “Race” and Relations in Post-Desegregated Schools  
Department of Educational Development  
University of Delaware

**Aaron Thompson and Jeffrey J. Arnett**  
African-American Adolescents’ Perspectives on Education  
Department of Human Development and Family Studies  
University of Missouri-Columbia

**Pamela Sussman Paternoster**  
Cambridge Algebra Project Reform Effort  
King Open School, Cambridge, Massachusetts  
The Algebra Project, Inc.

**David Shapiro**  
Determinants and Consequences of Young Women’s Access to Education in Kinshasa, Congo  
Department of Economics  
Pennsylvania State University

**Carolyn J. Thompson**  
Graduate School of Education  
State University of New York at Buffalo

**Joan Peskin**  
High School Students’ Understanding of Poetry as Discourse: An Expert-Novice Study  
Institute of Child Study  
University of Toronto

**Marc T. Pizarro**  
Understanding the Social Construction and Evolution of Chicana/o Identity: Implications for Educationally Empowering Chicana/o Youth  
Department of Comparative American Cultures  
Washington State University

**Vai Ramanathan and Dwight S. Atkinson**  
Learning English in a Postcolonial Culture: The Struggles of Gujarati College Students with English as Medium of Instruction in India  
Department of English  
University of Alabama

**Maureen F. Reddy**  
Supporting Science Talk in the Elementary School  
Jacobs Hiatt Center for Urban Education  
Clark University

**William J. Reese**  
Public Schools and the Common Good  
School of Education  
University of Wisconsin-Madison

**Gloria Rogers**  
Students’ Problem Solving Abilities and Procedures  
Rose-Hulman Institute of Technology

**Rosemary C. Salomone**  
Values in Conflict: A Case Study of Parental Dissent, School Governance, and the Limits of Constitutionalism  
School of Law  
Saint John’s University

**Dorothy Shipp**  
Big Business and Urban School Reform: Governing the Chicago Public Schools, 1979-1995  
Consortium for Chicago School Research  
University of Chicago

**Jeffrey N. Wasserstrom**  
Literacy Primers as Transmitters of New Political Vocabularies: Chinese and Russian Case Studies  
Department of History  
Indiana University

**Vai Ramanathan and Dwight S. Atkinson**  
Learning English in a Postcolonial Culture: The Struggles of Gujarati College Students with English as Medium of Instruction in India  
Department of English  
University of Alabama

**Harvey Siegel**  
Multi-Culturalism and the Possibility of Trans-Cultural Educational Ideals  
Department of Philosophy  
University of Miami

**Dorothy Shipp**  
Big Business and Urban School Reform: Governing the Chicago Public Schools, 1979-1995  
Consortium for Chicago School Research  
University of Chicago

**Kusim Singh, Susan B. Murphy, and Andrew J. Strommel**  
Literacy Skill Development in Preschool Children: Effects of Interactive Reading and Retelling  
College of Education  
Virginia Polytechnic Institute and State University

**Jeffrey W. Steinbergh**  
The Use of Metaphor in Poetry about Family by Second through Fifth Graders  
Brookline Public Schools, Brookline, Massachusetts  
Troubadour, Inc.

**Jeffrey J. Arnett**  
American Student Leadership and the Possibility of Trans-Cultural Educational Ideals  
Department of Philosophy  
University of Miami

**Dorothy Shipp**  
Big Business and Urban School Reform: Governing the Chicago Public Schools, 1979-1995  
Consortium for Chicago School Research  
University of Chicago

**Edward W. Stevens**  
Democracy and Diversity: Historical and Philosphic Foundations  
Ohio University

**James H. Wyckoff and R. Hamilton Lankford**  
The Effect of School Choice and Residential Location on the Educational Environment of K-12 Students  
Department of Public Administration and Policy  
State University of New York at Albany

**Sam Swope**  
Acquisition of Writing Skills from Third through Fifth Grades  
Public School 89, Queens, New York

Inquiries about the Small Research Grants Program may be directed to: Small Research Grants Program, The Spencer Foundation, 900 North Michigan Avenue, Suite 2800, Chicago, IL 60611-1542.
### THE JOHN D. AND CATHERINE T. MACARTHUR FOUNDATION/SPENCER FOUNDATION PROFESSIONAL DEVELOPMENT RESEARCH AND DOCUMENTATION GRANTS

<table>
<thead>
<tr>
<th>Name</th>
<th>Project Description</th>
<th>Institution</th>
<th>Funding Details</th>
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<tbody>
<tr>
<td>Sophia Cohen</td>
<td>When the Learners’ Thinking Takes Center Stage: A Study of Teacher and Classroom Change</td>
<td>Education Development Center, Inc.</td>
<td>$81,743 over 2 years</td>
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<tr>
<td>Catherine Lewis, Victor Battistich and Daniel Solomon</td>
<td>Educational Change and the Role of Teacher Community: Understanding the Effects of the Child Development Project</td>
<td>The Developmental Studies Center</td>
<td>$149,700 over 3 years</td>
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<tr>
<td>Dennis Palmer Wolf</td>
<td>Going for Broke: Sustained Professional Development for Mid-Career Teacher-Leaders</td>
<td>Performance Assessment Collaboratives for Education (PACE)/Harvard Graduate School of Education</td>
<td>$122,011 over 3 years</td>
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<td>Meryl Goldberg</td>
<td>SUAVE: Examining the Role of Coaching as a Professional Development Model</td>
<td>California State University, San Marcos</td>
<td>$150,000 over 3 years</td>
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<td>David Hammer</td>
<td>Advancing Reforms in Science Education: Teachers' Conceptual Resources</td>
<td>Education Development Center, Inc.</td>
<td>$106,537 over 2 years</td>
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<td>Vivian Troen, Katherine Boles and Mieko Kamii</td>
<td>A Study to Analyze the Process, Conditions, and Policy Arrangements that Support Teacher Learning in a Successful Professional Development Site</td>
<td>Brookline Public Schools and Boston Public Schools</td>
<td>$149,550 over 3 years</td>
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### PRACTITIONER RESEARCH COMMUNICATION AND MENTORING GRANTS

<table>
<thead>
<tr>
<th>Name</th>
<th>Project Description</th>
<th>Institution</th>
<th>Funding Details</th>
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</thead>
<tbody>
<tr>
<td>Shirley P. Brown and Lisa Gelzer</td>
<td>Girls, Guys, and Gaps: Gender Construction and Classroom Practices</td>
<td>Philadelphia Writing Project, Graduate School of Education, University of Pennsylvania</td>
<td>$12,000</td>
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<tr>
<td>Sarah Warshauer Freedman</td>
<td>Expanding Collaborations: A Network and Communications Grant</td>
<td>School of Education, University of California, Berkeley</td>
<td>$15,000</td>
</tr>
<tr>
<td>Judith L. Green and Carol N. Dixon</td>
<td>Teachers as Ethnographers of Their Own Practice: Creating Pathways to Interactions</td>
<td>Santa Barbara Classroom Discourse Group, Graduate School of Education, University of California, Santa Barbara</td>
<td>$14,950</td>
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<tr>
<td>Marion Guerra</td>
<td>Mentoring Teacher Research Partnerships: Crossing Bridges to Extend the Community</td>
<td>Worcester Public Schools, Worcester, MA</td>
<td>$13,520</td>
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<tr>
<td>Nancy Jennings</td>
<td>Ganado Intermediate School: A Site for Inquiry and School Reform</td>
<td>Ganado Intermediate Schools, Ganado, Arizona</td>
<td>$15,000</td>
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<tr>
<td>Christine H. Leland and Jerome Harste</td>
<td>The “Education as Inquiry” Study Group</td>
<td>Indiana University-Purdue University at Indianapolis</td>
<td>$15,000</td>
</tr>
<tr>
<td>Beatriz Manz</td>
<td>Education in a Maya Village in the Rain Forest of Guatemala: Mentoring Rural Teacher Researchers</td>
<td>Department of Geography and Ethnic Studies, University of California, Santa Barbara</td>
<td>$15,000</td>
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<tr>
<td>Brenda Miller Power and Ruth Shagoury Hubbard</td>
<td>Toolbox: Classroom Inquiry Strategies and Techniques</td>
<td>The University of Maine</td>
<td>$14,975</td>
</tr>
<tr>
<td>Emily van Zee</td>
<td>Inquiring into Science Learning and Teaching</td>
<td>Science Teaching Center, College of Education, University of Maryland at College Park</td>
<td>$4,000</td>
</tr>
</tbody>
</table>

The John D. and Catherine T. MacArthur Foundation/Spencer Foundation Professional Development Research and Documentation Program is administered by the Spencer Foundation. Inquiries may be directed to: MacArthur/Spencer Foundation Professional Development Research and Documentation Program, The Spencer Foundation, 900 North Michigan Avenue, Suite 2800, Chicago, IL 60611-1542.
SPENCER DISSERTATION FELLOWS

Thea Abu El-Haj
Doing Difference Differently: Frameworks for Promoting Change
Graduate School of Education
University of Pennsylvania

Sahara Patricia Baquedano-Lopez
Language and Identity: Language Socialization in Religious Education Classrooms
TESL/Applied Linguistics
University of California, Los Angeles

Eric Baumgartner
Science by Design: How Teachers Support Scientific Inquiry Through Design Projects
School of Education and Social Policy
Northwestern University

Lorraine Bell
Schooling Trajectories: Patterns of Women’s Education and Work over the Life Course
Department of Sociology
Duke University

Jill Bouma
Children’s Education and Work Roles in China
Department of Sociology
University of North Carolina at Chapel Hill

Bryan Brayboy
Climbing the Ivy: Examining the Experiences of Successful Native American Indians in Two Ivy League Universities
Graduate School of Education
University of Pennsylvania

Lynn Casmier-Paz
The Effects of Literacy in North American English Language Slave Narratives
Department of English
University of Pittsburgh

Mary Dillard
Department of History
University of California, Los Angeles

Paul Garrett
Language Socialization and Language Convergence in St. Lucia, West Indies: The Challenge of Education in a Dynamic Creole Environment
Department of Anthropology
New York University

Natasha Gill
Education and the French Enlightenment Notion of “Perfectibility.” The Educational Philosophy of Jean-Jacques Rousseau and Claude Adrien Helvétius
Department of History
New York University

Lorie Hammond
Teaching and Learning with the Iu Mien: A Case Study in School-Community Relations
Division of Education
University of California, Davis

Shannon Jackson
Democratic Transformation and the Public Sphere of Education in South Africa
Department of Anthropology
University of Chicago

David Kaiser
The Cultures of Calculating: Training American Theoretical Physicists in an Age of Big Science
Department of History of Science
Harvard University

Julie Kalnin
Teachers Learning: A Collaborative Research Network in Action
School of Education
University of California, Berkeley

Chauncy Lennon
Home Rule: Race, Education, and the Politics of Local Control
Department of Anthropology
Columbia University

Andrew Lewis
“. . .of all the people:” Race, Citizenship, and Education in Virginia Since 1945
School of Education
University of Virginia

Reitumetsie Mabokela
Black Students on White Campuses: Responses to Increasing Black Enrollments at Two South African Universities
College of Education
University of Illinois at Urbana-Champaign

Rodrigo Madanes
How Teachers Plan
Graduate School of Education
University of California, Berkeley

Karen Mapp
How Parents Make Meaning of Their Involvement in School/Family Partnerships
Graduate School of Education
Harvard University

Daniel McFarland
Student Engagement in the High School: Exploring the Determinants of Student Resistance to Learning
Department of Sociology
University of Chicago

Leslie Morrison
The Role of Protective Factors in Supporting a Successful Middle School Transition for Poor African-American Early Adolescents
School of Education
University of Michigan

Na’ilah Nasir
“All Money Ain’t Good Money”: The Development of Strategy and Arithmetical Understandings in the Game of Dominos
Graduate School of Education and Information Studies
University of California, Los Angeles

Meredith Phillips
Early Inequalities: The Production of Ethnic Differences in Academic Achievement During Childhood
Department of Sociology
Northwestern University

Brian Platt
School, Community and State Building in Nineteenth-Century Japan
Department of History
University of Illinois at Urbana-Champaign

Lisa Rosen
Multiplying Divisions: The Cultural Underpinnings of Debates on Education
Department of Anthropology
University of California, San Diego

Reed Stevens
Disciplined Perception: Comparing the Development of Embodied Mathematical Practices at Work and School
Graduate School of Education
University of California, Berkeley
NATIONAL ACADEMY OF EDUCATION/SPENCER POSTDOCTORAL FELLOWS

John Tyler
Estimating the Effect of the GED on the Earnings of Dropouts Using a Series of Natural Experiments
Graduate School of Education
Harvard University

Sheila Aikman
The Contradictions of Intercultural Education in the Peruvian Amazon
Institute of Education
University of London

David John Frank
Planting and Following Disciplinary Fields: Worldwide Shifts in University Curricula, 1915-1995
Department of Sociology
Harvard University

Karolyn Tyson
Social Influence and the Process of Schooling: An Examination of the Creation and Perpetuation of Social Inequality at the Primary Level
Department of Sociology
University of California, Berkeley

Barbara Applebaum
Raising Awareness of Dominance: Removing the Obstacles
Ontario Institute for Studies in Education
University of Toronto

Juan C. Guerra
Bridges and Barriers: A Bi-national Study of Schooling and the Mexican Immigrant Family
Department of English
University of Washington

Ingrid Vargas
Humanizing Liberalism: A Social and Intellectual History of Teachers and Public Education in Costa Rica, 1900-1930
Department of Sociology
Rutgers University

Ron A. Astor
Children’s, Parents’, and Teachers’ Reasoning about Poverty and Violence in School and Neighborhood Contexts
School of Education and School of Social Work
University of Michigan

Kathleen D. Hall
Becoming British Sikhs: The Politics of Identity and Difference in England
Graduate School of Education
University of Pennsylvania

John Warren
A Life-Course Perspective on Changes in the Effects of Family Background, Education, and Ability on Occupational Attainment
Department of Sociology
University of Wisconsin-Madison

Robert J. Bayley
Family Language Use, Bilingual Development, and Adaptation to Schooling in Two Mexican-Origin Communities
College of Social and Behavioral Sciences
University of Texas at San Antonio

Caroline E. Heller
Reading and the Reconstruction of Possibility: The Role of Literature in the Post War Lives of Holocaust Survivors
College of Education
University of Illinois at Chicago

Kathryn Walbert
New South, New Women: Southern Women Teachers and Changing Female Identities, 1865-1890
Department of History
University of North Carolina at Chapel Hill

David J. Chard
Discourse-intensive Mathematics Classrooms and Students with Learning Disabilities
School of Education
Boston University

Judith R. Kalman
Literacy in the Struggle to Survive: A Study of Literacy Learning and Use in a Community Education Project for Unschooled Women in Mexico City
Departamento de Investigaciones Educativas
Centro de Investigacion y Estudios Avanzados del Instituto Politecnico Nacional

Gary Wilder
Subject-Citizens: Negritude, Colonial Humanism, and the Imperial Nation-State in France Between the Wars
Departments of Anthropology and History
University of Chicago

Peter N. Kiang
Analyzing the Development of Asian-American Youth Leadership
Graduate College of Education and American Studies Program
University of Massachusetts
Boston

The Spencer Dissertation Fellowship Program is administered by the Spencer Foundation.
Inquiries may be directed to: Spencer Dissertation Fellowship Program, The Spencer Foundation, 900 North Michigan Avenue, Suite 2800, Chicago, IL 60611-1542.
Iona D. Man-Cheong
Education, Ideology, and the State in Late Imperial China: The 1761 Metropolitan Examination
Department of History
State University of New York at Stony Brook

Suzanne B. Mettler
The G.I. Bill of Rights of 1944 and American Citizenship
Department of Political Science
Syracuse University

Michael A. Mintrom
Curriculum Decision Making in Charter Schools: Exploring the Linkage between Educational Research and Practice
Department of Political Science
Michigan State University

Katharyne W. Mitchell
Education, Democracy and Citizenship in the Late Twentieth Century
Department of Geography
University of Washington

Elizabeth B. Moje
“Graffiti is a State of Mind and a Sign of Respect:” The Literacy Practices of “Gangsta” Adolescents
School of Education
University of Michigan

David E. Penner
Reasoning about Emergent Phenomena
School of Education
University of Wisconsin-Madison

Elizabeth R. Rose
Sonorities, Sisterhood, and Feminism: An Interpretive History
Department of History
Vanderbilt University

Annette M. Sassi
Developing Improvisational Perception: The Case of Facilitating the “Developing Mathematical Ideas” (DMI) Curriculum
Center for the Development of Teaching
Education Development Center

Priti Shah
Expert-Novice Studies of Graph Interpretation: Implications for Teaching Graphical Literacy
Department of Psychology
University of Memphis

Alexander Sidorkin
Monologism and Education
College of Education
University of Washington

Linda L. Sperry
Fear, Fantasy, and Power in an African-American Community: Consequences for the Development of Representational Thought
School of Education
Indiana State University

Stanley C. Trent
Tracing the Discourse while Living the Process of Special Education Reform: Sustaining a Collaborative Community in an Urban Elementary School
Curry School of Education
University of Virginia

Keith Whitescarver
When the South Learned to Read
College of Education
Ohio University

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The Spencer Postdoctoral Fellowship Program is administered by the National Academy of Education through a grant made in the 1998 fiscal year by the Spencer Foundation for $4,921,000 over three years. Inquiries may be directed to: National Academy of Education, Spencer Fellowship Program, Stanford University, School of Education, CERAS - 108, Stanford, CA 94305-3084.

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Michelene Chi
Learning Compatible and Incompatible Complex Concepts
Learning Research and Development Center
University of Pittsburgh

Kurt VanLehn
Tutoring By Humans and By Machines
Learning Research and Development Center
University of Pittsburgh

Fellowship awards are administered by the Center for Advanced Studies in the Behavioral Sciences through a grant made in the 1994 fiscal year by the Spencer Foundation of $900,000 over five years for support of Fellows. Inquiries may be directed to: Director, Center for the Advanced Study in the Behavioral Sciences, 202 Junipero Serra Boulevard, Stanford, CA 94305.
**SPENCER SENIOR SCHOLARS**

**Ann L. Brown**  
*Psychological Theory and Educational Reform: From the Committee of Ten to the Bush Initiatives*  
Graduate School of Education  
University of California, Berkeley/Harvard University  
1992

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

**Gary Orfield**  
*Education and Equity in Metropolitan Society: Trends, Causes, and the New Policy*  
Graduate School of Education  
University of Chicago/Harvard University  
1989

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

**Sara Lawrence-Lightfoot**  
*CROSSING BOUNDARIES AND FORGING RELATIONSHIPS: THE ART AND SCIENCE OF PORTRAITURE*  
Graduate School of Education  
Harvard University  
1995

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

**James G. March**  
*Organizational Learning*  
Graduate School of Business  
Stanford University  
1995

**Richard J. Murnane**  
*Economic Analysis to Improve Education*  
Graduate School of Education  
Harvard University  
1996

**Lee S. Shulman**  
*Toward a Pedagogy of Substance*  
School of Education  
Stanford University  
1990

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

**Carol Gilligan**  
*The Psychology of Women and the Development of Girls*  
Graduate School of Education  
Harvard University  
1990

**Alejandro Portes**  
*Growing Up American: The Study of the New Second Generation*  
Department of Sociology  
Princeton University  
1997

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

**RESEARCH TRAINING GRANTS**

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

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

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

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

**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

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

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

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

The Research Training Program supports research training in the field of education. In the 1997 fiscal year The Spencer Foundation made grants to nine institutions ranging from $900,000 to $2 million; the total amount awarded to all institutions was $11.2 million.
AMERICAN EDUCATIONAL RESEARCH ASSOCIATION/SPENCER DOCTORAL RESEARCH FELLOWS

M. Christopher Brown, II
Defining Collegiate Desegregation: The Quest for a Legal Standard of Compliance After Adams
Department of Education
Policy Studies
Pennsylvania State University

James Coaxum, III
A Taxonomy for Historically Black Colleges and Universities
Department of Educational Leadership
Vanderbilt University

Christine L. Diehl
Promoting Social Reasoning in the Classroom With “Convince Me”
Department of Education in Mathematics, Science, and Technology
University of California, Berkeley

Marissa Echevarria
Science Content and Process at the Junior High Level
Department of Educational Psychology and Statistics
State University of New York at Albany

Simon I. Guteng
Professional Concerns of Beginning Special Education Teachers
Department of Special Education and Rehabilitation
University of Arizona

Denise Kiona Henning
American Indian Doctoral Completion: A Contemporary Indian War
Department of Educational Management and Development
New Mexico State University

Lori Ann Kurth
Gender and Cultural Aspects of Students’ Science Talk and How These Factors Influence Students’ Inclusion and Identity in Classroom Discourse
Department of Teacher Education
Michigan State University

Alice Lesnick
Written Lives: An Interpretive Study of the Ethical Dimensions of Students’ Transactions With Literature in Two English Classrooms
Language in Education Division
University of Pennsylvania

Michele Moses
Justice in Education: A Philosophical Defense of Race-Conscious Educational Policy
School of Education and Department of Philosophy
University of Colorado at Boulder

Nora Amavisca Reyes
The Professional Socialization of Beginning Bilingual Teachers
Department of Curriculum and Instruction
Arizona State University

Lisa Rosen
The Micro-Politics of Controversy Over Mathematics Education in California
Department of Anthropology
University of California, San Diego

Carol Anne Spreen
Schools as Laboratories for Social Transformation: Mapping Multicultural Educational Borrowing in South Africa
Teachers College
Columbia University

Catherine E. Wycoff
Non-School Educational Experiences of Immigrants and African Americans During the Interwar Period
Department of Educational Policy Studies
University of Illinois at Urbana-Champaign

AMERICAN EDUCATIONAL RESEARCH ASSOCIATION/SPENCER DOCTORAL RESEARCH TRAVEL GRANTEES

Helene Alpert Furani
Young Toddlers’ Mathematical Thinking and Reasoning
Department of Teacher Education
Michigan State University

Kathleen Hogan
Thinking Aloud Together: A Test of an Intervention to Foster Middle School Students’ Collaborative Scientific Reasoning
Department of Educational Psychology and Statistics
State University of New York at Albany

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

The American Educational Research Association/Spencer Doctoral Research Fellowship and Travel Grant Program is administered by the American Educational Research Association (AERA) through a grant of $1,250,000 made in the 1997 fiscal year by the Foundation. Inquiries may be directed to: AERA/Spencer Doctoral Research Fellowship Program, The American Educational Research Association, 1230 17th Street NW, Washington, DC 20036.
SPENCER MENTOR NETWORK AWARDS

Charles T. Clotfelter  
Terry Sanford Institute of Public Policy  
Duke University

Andrea A. diSessa  
Graduate School of Education  
University of California, Berkeley

Louis M. Gomez  
School of Education and Social Policy  
Northwestern University

Kris D. Gutierrez  
Graduate School of Education & Information Studies  
University of California, Los Angeles

Jennifer L. Hochschild  
Woodrow Wilson School of Public & International Affairs  
Princeton University

Dorothy Ross  
Department of History  
Johns Hopkins University

Catherine E. Snow  
Graduate School of Education  
Harvard University

Members of the Spencer Mentor Network receive, at the invitation of the Foundation, $50,000 over two years to support doctoral students engaged in research on educational issues.
OTHER GRANTS

Jesse H. Ausubel
CyberCampus Design Project
Alfred P. Sloan Foundation
$25,000 over one year

John S. Ayers
Charter School Support Project
Leadership for Quality Education
$25,000 over three months

Frank F. Furstenberg, Jr. and Herbert P. Ginsburg
Continuing support for the seminar participants at the Center for Advanced Study in the Behavioral Sciences
Department of Sociology
University of Pennsylvania
$25,000 over ten months

Sue Hansen-Smith
Support for the Fourth International Conference on Teacher Research
National-Louis University
$7,500 over one month

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

Anne C. Kubisch
Continued support for the Roundtable on Comprehensive Community Initiatives for Children and Families
The Roundtable on Comprehensive Community Initiatives for Children & Families
The Aspen Institute
$25,000 over one year

Linda Lenz
Support for Catalyst: A series on school reform in Chicago
Community Renewal Society
$15,000 over one year

Valerie S. Lies
Conference and dissemination activities on Chicago school reform
Donors Forum of Chicago
$25,000 over one year

John Merrow
Radio Forums on Current Issues in Educational Research
Learning Matters, Inc.
$241,000 over two years

Katherine K. Merseth
Support for the planning of a Fellowship Program in Evaluation of Programs for Children
Harvard Project on Schooling and Children
Harvard University
$29,500 over six months

Kenneth Rolling and Mark A. Smylie
Evaluation of the Chicago Annenberg Challenge
Chicago Annenberg Challenge
$320,000 over five years

Carol H. Weiss and Joseph P. Newhouse
Post-Doctoral Fellowships in Evaluating Programs for Children
Harvard Project on Schooling and Children
Harvard University
$720,600 over four years
GRANTS IN PROGRESS

Karl L. Alexander and Doris R. Entwisle
Disengagement and Dropout: A Study of the Long-Term Process that Leads to Early Withdrawal from School
Department of Sociology
Johns Hopkins University
$410,000 in 1994

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

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

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

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

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

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

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

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

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

Anthony S. Bryk
Renewal: The Consortium on Chicago School Research
Department of Education
University of Chicago
$619,800 in 1995

Alan S. Chartock
Dissemination of Educational Research
WAMC Public Radio
$214,100 in 1995

Michelene T. H. Chi
Self-Construction and Co-Construction of Explanations During Tutoring
Learning Research and Development Center
University of Pittsburgh
$174,500 in 1995

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

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

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

William A. Firestone
District Responses to State Alternative Assessments
Graduate School of Education
Rutgers University
$262,500 in 1995

Robert K. Fullinwider
Multicultural Education as Moral Education
Institute for Philosophy and Public Policy
University of Maryland at College Park
$86,500 in 1995
Grants in progress

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

Ellen Galinsky  
The Florida Quality Improvement Study  
Families and Work Institute  
$289,650 in 1994

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

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

Roger L. Geiger  
Dynamics of Institutional Change in Higher Education: American Colleges and Universities in the Nineteenth Century  
Department of Higher Education  
Pennsylvania State University  
$42,750 in 1994

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

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

Artin Goncu  
Cultural Variations in the Play of Young Children  
College of Education  
University of Illinois at Chicago  
$185,200 in 1992

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

James G. Greeno  
Processes of Conceptual Learning During Conversational Discourse  
School of Education  
Stanford University  
$396,900 in 1995

Sara Harkness and Charles M. Super  
Parental Ethnotheories, Cultural Practices, and the Transition to School  
School of Family Studies  
University of Connecticut  
$441,400 in 1994

Shirley Brice Heath and Milbrey W. McLaughlin  
Learning for Anything Everyday: The Role of Neighborhood-Based Organizations for Youth  
Department of English  
Stanford University  
$414,000 in 1994

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

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

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

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

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

Thomas James  
Reconstructing State School Systems: The Case of Kentucky  
School of Education  
New York University  
$350,000 in 1993

Morton Keller and Phyllis Keller  
Success and Its Discontents: Harvard and Higher Education in America, 1936-1995  
Department of History  
Brandeis University  
$228,650 in 1996

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

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

Magdalene Lampert  
Practices of Teaching and Learning Authentic Mathematics for Understanding in School  
School of Education  
University of Michigan  
$345,000 in 1992

Annette P. Lareau  
Managing Childhood: Social Class and Race Differences in Parents’ Management of Children’s Organizational Lives  
Department of Sociology  
Temple University  
$299,300 in 1992

Carol D. Lee  
Cultural Modeling in Reading Comprehension: Implications for Teacher and Student Cognition  
School of Education and Social Policy  
Northwestern University  
$136,250 in 1996
Howard B. London and Kathleen M. Shaw  
Cultures of Success: A Study of Community Colleges with High Transfer Rates  
Department of Sociology  
Bridgewater State College  
$130,300 in 1996

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

Dan P. McAdams  
Generativity in Black and White  
School of Education and Social Policy  
Northwestern University  
$367,200 in 1995

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

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

James M. McPartland, Edward McDill, Douglas MacIver, and Will J. Jordan  
Student Absenteeism in Middle School and High School: Problem Sources and Solutions  
Center for Social Organization of Schools  
Johns Hopkins University  
$303,500 in 1995

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

Donald R. Moore  
Partial Support of the School Community Standards Project Designs for Change  
$390,000 in 1996

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

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

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

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

Elinor Ochs  
The Collaborative Construction of Scientific Knowledge in a University Physics Laboratory  
Department of TESL & Applied Linguistics  
University of California, Los Angeles  
$274,625 in 1994

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

Lucinda Pease-Alvarez and Kenji Hakuta  
Language Maintenance and Shift in Early Adolescence  
Board of Studies in Education  
University of California, Santa Cruz  
$187,500 in 1995

David M. Post, Leif I. Jensen, David G. Aber, and Dennis P. Hogan  
Family Welfare and Children’s Schooling: A Study of Chile, Peru, and Mexico  
Department of Administration, Policy, and Comparative Education  
Pennsylvania State University  
$269,350 in 1995

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

James E. Rosenbaum  
Survey of the Long-Term Effects of Residential Mobility on Low-Income Black Youth  
Institute for Policy Research  
Northwestern University  
$503,000 in 1996

Michael Rosenthal  
Biography of Nicholas Murray Butler, President of Columbia from 1902-1945  
Department of English and Comparative Literature  
Columbia University  
$93,000 in 1996

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

Theodore R. Sizer, James P. Comer, Howard E. Gardner, and Janet Whitla  
Partial Support of the Design and Development Working Party of the ATLAS Project  
Coalition of Essential Schools  
Brown University  
$1,500,000 in 1994

Susan S. Stodolsky and Pamela Grossman  
Subject Matter as a Context for High School Teaching  
Department of Education  
University of Chicago  
$213,900 in 1992

Christopher A. Stray  
The Shaping of a Discipline: Classics in Cambridge, 1822-1914  
Department of Classics and Ancient History  
University of Wales, Swansea  
$80,100 in 1996

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

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

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

**Thomas R. Trabasso**  
*Talking Aloud During Reading Comprehension*  
Department of Psychology, University of Chicago  
$429,100 in 1994

**Pamela B. Walters**  
*Private Interests and Public Voices: Organizations, Group Mobilization, and the Politics of Public Education, 1880-1920*  
Department of Sociology, Indiana University at Bloomington  
$269,450 in 1995

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

**Douglas R. Weiner**  
*“Curiosity For Its Own Sake:” Boris Evgen’evich Raikov and the Problem of Soviet Science Education in the 1920s*  
Department of History, University of Arizona  
$72,800 in 1996

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

**Allan Wigfield**  
*Children’s Competence Beliefs, Achievement Task Values, and General Self-Esteem*  
Department of Human Development, University of Maryland at College Park  
$37,000 in 1995

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

**Kenneth Zeichner and Cathy Caro-Bruce**  
*The Nature and Impact of an Action Research Program for Teachers and Principals in one Urban School District*  
University of Wisconsin-Madison/Madison Metropolitan School District  
$79,000 in 1996
GRANTEE PUBLICATIONS RECEIVED

Ascher, Carol; Norm Fruchter; and Robert Berne
Hard Lessons: Public Schools and Privatization
New York: The Twentieth Century Fund Press, 1996

Brint, Steven
In an Age of Experts: The Changing Role of Professionals in Politics and Public Life

Bruner, Jerome
The Culture of Education
Cambridge, MA: Harvard University Press, 1996

Cairns, Robert B.; Glen H. Elder, Jr.; and E. Jane Costello (Eds.)
Developmental Science
New York: Cambridge University Press, 1996

Case, Robbie and Okamoto Yukari
The Role of Central Conceptual Structures in the Development of Children’s Thought: Monographs of the Society for Research in Child Development
Chicago, IL: University of Chicago Press, 1996

Csikszentmihalyi, Mihaly
Creativity: Flow and the Psychology of Discovery and Invention

DeJean, Jillian
Talking Books: A Case Study of Promise and Practice (CD-ROM)
Kingston, ON: Queen’s University, 1996

Evans-Andris, Melissa
An Apple for the Teacher: Computers and Work in Elementary Schools

Harkness, Sara and Charles M. Super (Eds.)
Parents’ Cultural Belief Systems

 Herbst, Jurgen
The Once and Future School: Three Hundred and Fifty Years of American Secondary Education
New York: Routledge, 1996

Kerckhoff, Alan; Ken Fogelman; David Crook; and David Reeder
Going Comprehensive in England and Wales: A Study of Uneven Change

Knupfer, Anne Meis
Toward a Tenderer Humanity and a Nobler Womanhood: African American Women’s Clubs in Turn-of-the-Century Chicago

Ladd, Helen F. (Ed.)
Holding Schools Accountable: Performance-Based Reform in Education

Lavin, David E. and David Hyllegard
Changing the Odds

Nie, Norman H.; Jane Junn; and Kenneth Stehlik-Barry
Education and Democratic Citizenship in America
Chicago, IL: University of Chicago Press, 1996

Olson, David R. and Nancy Torrance (Eds.)
The Handbook of Education and Human Development: New Models of Learning, Teaching and Schooling

Orfield, Gary; Susan E. Eaton; and the Harvard Project on School Desegregation
Dismantling Desegregation: The Quiet Reversal of Brown v. Board of Education

Plank, David N.
Means of Our Salvation: Public Education in Brazil 1930-1955

Portes, Alejandro and Ruben G. Rumbaut
Immigrant America: A Portrait

Rich, Wilbur C.
Black Mayors and School Politics

Rivera-Batiz, Francisco L. and Carlos E. Santiago
Island Paradox: Puerto Rico in the 1980s
New York: Russell Sage Foundation, 1996

Steinberg, Laurence
Beyond the Classroom: Why School Reform Has Failed and What Parents Need To Do

Urcioli, Bonnie
Exposing Prejudice: Puerto Rican Experiences of Language, Race, and Class

Walker, Vanessa Siddle
Their Highest Potential: An African American Community in the Segregated South

Wong, Kenneth E. (Ed.)
Advances in Educational Policy: Rethinking School Reform in Chicago
Greenwich, CT: JAI Press Inc., 1996

Weiler, Hans N.; Heinrich Mintrop; and Elisabeth Fuhrmann
Educational Change and Social Transformation: Teachers, Schools and Universities in Eastern Germany

These books were received at the Foundation during the 1997 fiscal year and result from work wholly or partially supported by the Spencer Foundation.
REPORT OF THE TREASURER

On March 31, 1997, the assets of the Spencer Foundation totaled $359 million. These assets are invested primarily in equities actively managed by Cedarpoint Capital Management, New York; and in S & P 500 and EAFE indexed equity funds managed by State Street Bank, Boston. The Finance and Audit Committee of the Board of Directors, assisted by the Treasurer and Controller, oversees the performance of the Foundation’s investments, convening regularly (at meetings to which all Directors are invited) to review investment results, to discuss investment policy, and to set the asset allocation policy. The Northern Trust Company is custodian bank. A complete list of the Foundation’s assets is available for inspection at the Foundation.

The Foundation made its first distributions in 1971 and through March 31, 1997 has authorized grants and fellowships of $182 million, of which $21.9 million remains payable in future fiscal years. During the 1997 fiscal year, the foundation made payments on grants and fellowships totaling $14.9 million, and the Board of Directors anticipates making grants at approximately the same level through the 1998 fiscal year. The audited financial statements of the Spencer Foundation begin on page 36.

John H. Barcroft
Treasurer
March 31, 1997
INDEPENDENT AUDITORS’ REPORT

Board of Directors
The Spencer Foundation
Chicago, Illinois

We have audited the accompanying statements of financial position of The Spencer Foundation (an Illinois not-for-profit corporation) as of March 31, 1997 and 1996, and the related statements of activities and cash flows for the years then ended. These financial statements are the responsibility of the Foundation’s management. Our responsibility is to express an opinion on these financial statements based on our audits.

We conducted our audits in accordance with generally accepted auditing standards. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. Our procedures included obtaining confirmation of securities owned, as of March 31, 1997 and 1996, by correspondence with the custodians. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

In our opinion, such financial statements present fairly, in all material respects, the financial position of The Spencer Foundation as of March 31, 1997 and 1996, and the changes in its net assets and its cash flows for the years then ended in conformity with generally accepted accounting principles.

Deloitte & Touche LLP
Chicago, Illinois
May 13, 1997
## Statements of Financial Position

**March 31, 1997 and 1996**

(Thousands of Dollars)

<table>
<thead>
<tr>
<th></th>
<th>1997</th>
<th>1996</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>ASSETS:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Investments at quoted market value (Note 3) (cost: 1997-$227,015; 1996-$229,387)</td>
<td>$356,028</td>
<td>$312,318</td>
</tr>
<tr>
<td>Cash (including funds held by investment custodians: 1997 - $2,218; 1996 - $432)</td>
<td>2,437</td>
<td>2,462</td>
</tr>
<tr>
<td><strong>Other assets:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Accrued interest and dividends</td>
<td>153</td>
<td>144</td>
</tr>
<tr>
<td>Taxes refundable</td>
<td>114</td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td>393</td>
<td>455</td>
</tr>
<tr>
<td><strong>Total Assets</strong></td>
<td>359,011</td>
<td>315,493</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>LIABILITIES:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grants payable</td>
<td>21,879</td>
<td>11,418</td>
</tr>
<tr>
<td>Payable to brokers</td>
<td>173</td>
<td>506</td>
</tr>
<tr>
<td>Accounts payable and accrued expenses</td>
<td>350</td>
<td>291</td>
</tr>
<tr>
<td>Excise taxes payable</td>
<td>38</td>
<td></td>
</tr>
<tr>
<td><strong>Total Liabilities</strong></td>
<td>22,440</td>
<td>12,215</td>
</tr>
<tr>
<td><strong>Unrestricted Net Assets (Note 6)</strong></td>
<td>$336,571</td>
<td>$303,278</td>
</tr>
</tbody>
</table>

See notes to financial statements.
### Statements of Activities

**Years Ended March 31, 1997 and 1996**

(Thousands of Dollars)

<table>
<thead>
<tr>
<th></th>
<th>1997</th>
<th>1996</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Revenue and Gains:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Dividends</td>
<td>$6,018</td>
<td>$5,374</td>
</tr>
<tr>
<td>Interest</td>
<td>483</td>
<td>587</td>
</tr>
<tr>
<td>Realized gains</td>
<td>8,627</td>
<td>7,369</td>
</tr>
<tr>
<td>Increase in unrealized gains</td>
<td>46,082</td>
<td>56,997</td>
</tr>
<tr>
<td><strong>Total revenue and gains</strong></td>
<td><strong>61,210</strong></td>
<td><strong>70,327</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>1997</th>
<th>1996</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Grants and Other Expenses:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grants authorized (Note 5)</td>
<td>24,775</td>
<td>8,603</td>
</tr>
<tr>
<td>Administrative expenses</td>
<td>2,273</td>
<td>1,972</td>
</tr>
<tr>
<td>Investment services</td>
<td>600</td>
<td>520</td>
</tr>
<tr>
<td>Excise taxes (Note 4)</td>
<td>269</td>
<td>110</td>
</tr>
<tr>
<td><strong>Total grants and other expenses</strong></td>
<td><strong>27,917</strong></td>
<td><strong>11,205</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>1997</th>
<th>1996</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Increase in Net Assets</strong></td>
<td><strong>33,293</strong></td>
<td><strong>59,122</strong></td>
</tr>
<tr>
<td><strong>Unrestricted Net Assets - Beginning of year</strong></td>
<td>303,278</td>
<td>244,156</td>
</tr>
<tr>
<td><strong>Unrestricted Net Assets - End of year</strong></td>
<td><strong>$336,571</strong></td>
<td><strong>$303,278</strong></td>
</tr>
</tbody>
</table>

See notes to financial statements.
## STATEMENTS OF CASH FLOWS
YEARS ENDED MARCH 31, 1997 AND 1996
(Thousands of Dollars)

<table>
<thead>
<tr>
<th></th>
<th>1997</th>
<th>1996</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Increase in net assets</strong></td>
<td>$33,293</td>
<td>$59,122</td>
</tr>
<tr>
<td><strong>Adjustments to reconcile increase in net assets to net cash flows from operating activities:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Gain on sale of investments</td>
<td>(8,627)</td>
<td>(7,369)</td>
</tr>
<tr>
<td>Unrealized gain on investments</td>
<td>(46,082)</td>
<td>(56,997)</td>
</tr>
<tr>
<td>Depreciation</td>
<td>127</td>
<td>70</td>
</tr>
<tr>
<td><strong>Changes in assets and liabilities:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Accrued interest and dividends</td>
<td>(9)</td>
<td>(48)</td>
</tr>
<tr>
<td>Taxes refundable</td>
<td>114</td>
<td>(77)</td>
</tr>
<tr>
<td>Other</td>
<td>62</td>
<td>1,104</td>
</tr>
<tr>
<td>Grants payable</td>
<td>10,461</td>
<td>4,121</td>
</tr>
<tr>
<td>Payable to brokers</td>
<td>(333)</td>
<td>1,997</td>
</tr>
<tr>
<td>Accounts payable and accrued expenses</td>
<td>59</td>
<td>(144)</td>
</tr>
<tr>
<td>Excise taxes payable</td>
<td>38</td>
<td>283</td>
</tr>
<tr>
<td><strong>Net cash flows from operating activities</strong></td>
<td>(10,897)</td>
<td>2,062</td>
</tr>
</tbody>
</table>

### CASH FLOWS FROM INVESTING ACTIVITIES:

<table>
<thead>
<tr>
<th></th>
<th>1997</th>
<th>1996</th>
</tr>
</thead>
<tbody>
<tr>
<td>Purchases of investments</td>
<td>(24,010)</td>
<td>(31,829)</td>
</tr>
<tr>
<td>Proceeds from sales of investments</td>
<td>34,938</td>
<td>31,220</td>
</tr>
<tr>
<td>Capital expenditures</td>
<td>(56)</td>
<td>(246)</td>
</tr>
<tr>
<td><strong>Net cash flows from investing activities</strong></td>
<td>10,872</td>
<td>(855)</td>
</tr>
</tbody>
</table>

### INCREASE (DECREASE) IN CASH

<table>
<thead>
<tr>
<th></th>
<th>1997</th>
<th>1996</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>CASH - Beginning of year</strong></td>
<td>2,462</td>
<td>1,255</td>
</tr>
<tr>
<td><strong>CASH - End of year</strong></td>
<td>$2,437</td>
<td>$2,462</td>
</tr>
</tbody>
</table>

See notes to financial statements.
NOTES TO FINANCIAL STATEMENTS
YEARS ENDED MARCH 31, 1997 AND 1996
(Thousands of Dollars)

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

2. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

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

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

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

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

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

<table>
<thead>
<tr>
<th></th>
<th>1997</th>
<th>1996</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Cost</td>
<td>Market Value</td>
</tr>
<tr>
<td>Index funds</td>
<td>$137,319</td>
<td>$209,509</td>
</tr>
<tr>
<td>Common stocks</td>
<td>84,768</td>
<td>145,158</td>
</tr>
<tr>
<td>Real estate funds</td>
<td>4,928</td>
<td>3,994</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$227,015</strong></td>
<td><strong>358,661</strong></td>
</tr>
<tr>
<td>Deferred federal excise tax</td>
<td>(2,633)</td>
<td></td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$224,382</strong></td>
<td><strong>357,972</strong></td>
</tr>
</tbody>
</table>

4. TAXES

Excise Tax - The Foundation qualifies as a private foundation and, as a result, is subject to a federal excise tax of two percent on net investment income, as defined. If the average payout ratio for the past five years plus one percent of net investment income in the current year, as defined, is less than the current year’s charitable distributions, federal excise tax is payable at one percent of net investment income, as defined. The Foundation paid federal excise tax of one percent in the years ended March 31, 1997 and 1996.

The quoted market value of investments was reduced by $2,633 and $1,690 at March 31, 1997 and 1996, respectively, representing the federal excise taxes which would become payable if the net unrealized gains were realized. The change in such deferred taxes is applied against the change in unrealized gains in the statements of activities.
5. GRANT COMMITMENTS
The Foundation has authorized but unpaid grants outstanding as of March 31, 1997 payable as follows:

<table>
<thead>
<tr>
<th>Fiscal Year Ending March 31</th>
<th>1998</th>
<th>1999</th>
<th>2000</th>
<th>2001</th>
<th>2002</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$ 7,493</td>
<td>5,344</td>
<td>4,485</td>
<td>2,813</td>
<td>1,744</td>
<td><strong>$ 21,879</strong></td>
</tr>
</tbody>
</table>

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

6. UNRESTRICTED NET ASSETS
Unrestricted net assets are composed of the following amounts:

<table>
<thead>
<tr>
<th></th>
<th>1997</th>
<th>1996</th>
</tr>
</thead>
<tbody>
<tr>
<td>Principal</td>
<td>$ 82,203</td>
<td>$ 82,203</td>
</tr>
<tr>
<td>Cumulative excess of grants and other expenses over revenue (cumulative grants authorized of $182,060 at March 31, 1997)</td>
<td>(82,910)</td>
<td>(61,494)</td>
</tr>
<tr>
<td>Cumulative net realized gains on sales of investments</td>
<td>208,265</td>
<td>199,638</td>
</tr>
<tr>
<td>Unrealized gains in investment portfolio</td>
<td>129,013</td>
<td>82,931</td>
</tr>
<tr>
<td>Total</td>
<td><strong>$ 336,571</strong></td>
<td><strong>$ 303,278</strong></td>
</tr>
</tbody>
</table>

7. PROFESSIONAL DEVELOPMENT PROGRAM
During the 1996 fiscal year, the Foundation established a joint venture Professional Development Research and Documentation Program (the “Program”) with The John D. and Catherine T. MacArthur Foundation. The program provides grants for research in the area of professional development in schools and will provide a total of $3,000 in grants over a four-year period. Based upon the terms of the agreement, the Foundation administers the program and contributes 25 percent of the total awards and 50 percent of administration costs. MacArthur provides the remaining 75 percent of total awards and 50 percent of administration costs. At March 31, 1997, the cash balance of the Foundation includes $274 of funds advanced from The MacArthur Foundation not yet expended under the Program; the contra amount is included in accounts payable and accrued expenses.

8. RETIREMENT PLAN
The Foundation has a contributory annuity retirement plan in conjunction with the Teachers Insurance and Annuity Association of America (“TIAA-CREF”) for which substantially all employees are eligible. Expenses related to the retirement plan approximated $127 and $116 in 1997 and 1996, respectively. The Foundation funds its pension costs on a current basis in accordance with TIAA-CREF requirements.