

**The Phi Beta Kappa Society**  
**1606 New Hampshire Avenue, NW, Washington, DC 20009**



October 13, 2017

Dear Colleagues:

Thank you for your interest in sheltering a chapter of Phi Beta Kappa. For more than 240 years and now on 286 campuses, Phi Beta Kappa has represented the highest values of academic excellence in the liberal arts and sciences. It is a privilege to have the opportunity to work with you to gain a deeper understanding of the educational experience offered at your school.

Our application process occurs in several stages, the first of which is the submission of a Preliminary Application. The purpose of the Preliminary Application is two-fold: to familiarize an institution with the essential commitments required to support a Phi Beta Kappa chapter and to facilitate an initial assessment of an institution's capacity to meet those commitments.

Phi Beta Kappa's Committee on Qualifications reviews all Preliminary Applications before inviting qualified institutions to undertake the next steps in the application process. The Committee has prepared the following document to offer instructions concerning the submission of the Preliminary Application as well as information on the data your application must contain. We hope that you find it clear and concise, and we greatly appreciate the time and effort your institution will put forth as you work on the application. **The deadline to submit a Preliminary Application for consideration during the 2018–2021 triennium is November 1, 2018.**

The Committee on Qualifications will review all applications and meet in the spring of 2019 to determine which institutions will be invited to move forward with the application process. All applicants will be notified at that time. Those moving forward will be asked to submit a General Report, due in the fall of 2019, and to prepare for a site visit in the first quarter of 2020. Based on the General Reports and the site visit, the committee will determine which institutions to recommend to the Phi Beta Kappa Senate in December of 2020. The final step is the approval of new chapters by Phi Beta Kappa's Triennial Council which will meet in August of 2021.

We understand the long duration of the application cycle and will work with your faculty applicant team and institution leaders as you move forward. To guide your application, Phi Beta Kappa's Stipulations for Membership are included as an appendix to the Preliminary Application. These stipulations describe the requirements for students to receive an invitation to join Phi Beta Kappa. Additionally, please note that Section 1F of the Preliminary Application asks you to define your institution's liberal arts and sciences program. This may be a College of the Arts and Sciences, for example, or it may be a virtual College of the Arts and Sciences bringing in many departments. It is critical that we have an accurate understanding of the home for the liberal arts and sciences on your campus. We would be happy to answer any questions you may have, especially on this vital matter.

As you complete the Preliminary Application, please contact Ann McCulloch, Director of Chapter and Association Relations, at [amcculloch@pbk.org](mailto:amcculloch@pbk.org) or 202-745-3249, with any questions. Thank you for your interest in sheltering a chapter of Phi Beta Kappa. The Committee on Qualifications looks forward to considering your application.

Sincerely,

A handwritten signature in blue ink, appearing to read 'Frederick M. Lawrence'.

Frederick M. Lawrence  
Secretary/CEO



## **Instructions for Assembly of the Preliminary Application to Shelter a Chapter of Phi Beta Kappa**

A complete application consists of a searchable PDF containing a cover letter followed by the Preliminary Application. Please submit a thumb drive containing an electronic file of your Preliminary Application, an electronic file of the institution's most recent catalog or a link to the on-line version of the catalog, and electronic files of each brochure or other publication sent to prospective students or links to the electronic versions of these documents. You also should send a check for the Preliminary Application fee in the amount of \$2,000, payable to The Phi Beta Kappa Society, that helps defray the costs of the Preliminary Application evaluation process. These items may be sent to:

Ann McCulloch  
Director, Chapter & Association Relations  
The Phi Beta Kappa Society  
1606 New Hampshire Avenue, NW  
Washington, DC 20009  
[amcculloch@pbk.org](mailto:amcculloch@pbk.org)

### **Preliminary Application Cover Letter**

The cover letter should contain the name, title, and contact information for the chair of your institution's Phi Beta Kappa Committee as well as a brief statement of how the institution would support a Phi Beta Kappa chapter on campus. The cover letter should be signed by the chair of the Phi Beta Kappa Committee as well as the institution's President, Chancellor or other Chief Executive Officer.

### **Preliminary Application Format**

The applicant committee is requested to provide a document organized in the format specified below providing the information requested in each item. Please include a table of contents and tabs for each section with continuous pagination throughout the document. Each section and subsection should

## **Preliminary Application Instructions, continued**

contain headings that correspond with the table of contents. We ask that you provide the document in a 12-point font with 1.5-inch line spacing.

The Preliminary Application is organized, as far as possible, to allow the institution to supply information already gathered for the Common Data Set (CDS), the American Association of University Professors (AAUP), the National Collegiate Athletic Association (NCAA), or other reports. We ask that applicants not scan in such reports as parts of this document, but rather transcribe the information in the section and manner as defined by the application document.

Please note that in Sections I and II, the CDS information **for the entire institution is requested**. The same will be true of Sections III, IV, and V only if the institution as a whole is being described as a college of arts and sciences. If the college of arts and sciences or its equivalent—however defined or organized—is being presented as a part of a larger, multi-focused institution, the information presented in Sections III, IV, and V should be assembled according to the relevant criteria of the CDS, **but for the college of arts and sciences or its equivalent rather than for the entire institution**. We ask that applicants share all numerical data in table format.

Lastly, for questions that require data for the past 10 academic years, please use Fall 2008 – Spring 2018. For questions that require data for the past five academic years, please use Fall 2013 – Spring 2018.

# Preliminary Application to Shelter a Chapter of Phi Beta Kappa

## Sample Preliminary Application Cover Letter

**Name of Institution**

**Date of Application**

[NAME OF INSTITUTION] requests consideration for authorization to shelter a chapter of Phi Beta Kappa.

Brief statement of how a Phi Beta Kappa chapter would thrive on campus and how the institution would support a chapter of Phi Beta Kappa, if approved.

Signed: \_\_\_\_\_

Chair of Phi Beta Kappa Committee

Title

Address

Phone number

Email

Signed: \_\_\_\_\_

President, Chancellor, or other Chief Executive Officer of Institution

## Preliminary Application to Shelter a Chapter of Phi Beta Kappa

### Section I. General Information

- A. Mission statement or statement of purpose of the institution as published in the catalog, and any other concise published commitment to the centrality of the liberal arts and sciences in the life of the institution.
- B. Description of ownership, sponsorship, or affiliation with any public or private entity, with a precise account of the role of any such entity in shaping institutional policies.
- C. Statement of general and specialized regional accreditations held by the institution; notation of any probationary status or withdrawal of accreditation in the past 10 academic years, for example, Fall 2008 – Spring 2018.
- D. Concise description of the governance and organization of the institution, including precise characterization of the relation of any branch campuses to the main campus, including a one-page organizational chart.
- E. Carnegie classification of the institution; list all the undergraduate schools and colleges within the institution.
- F. Precise explanation of how your institution defines its liberal arts and sciences program, for example, a College of Arts and Sciences or a virtual concept. In each case provide what departments are included.
- G. Text of any official, published institutional commitment to nondiscriminatory policies and freedom of inquiry and expression.
- H. Information regarding any restrictions governing membership in the student body, faculty or staff, or governing body that pertains to age, race, ethnicity, religion, gender, sexual orientation, disability, veteran status, or national origin.
- I. Text of any official policy governing events featuring speakers from off campus.
- J. Text of any official policy regarding the immigration status of faculty, staff, and students.
- K. Description of benefits provided to faculty and staff.
- L. Information regarding censure, warning, probation, or any other negative action taken toward the institution by any academic professional organization in the past 10 academic years. In the case of any negative action, indicate the response of the institution.

- M. Information regarding any penalties, probations, or other negative actions toward the institution by any athletic organization in the past 10 academic years. In the case of any negative action, indicate the response of the institution.
- N. Information regarding negative actions toward the institution taken under Title IX in the past 10 academic years.
- O. Link to the most recent accreditation report.

**Section II. Students, Enrollment, Admission, and Financial Aid**

- A. Information on institutional enrollment conforming to CDS B-1 through B-11, B-22, D-2.  
*Please transcribe this information; do not photocopy or reproduce CDS forms.*
- B. Information on applications conforming to CDS C-1.
- C. Information on admission standards conforming to CDS C-5, C-9, C-10, C-11.
- D. Information on matriculants conforming to CDS F-1.
- E. Information on tuition and fees conforming to CDS G-1, G-5.
- F. Information on financial aid conforming to CDS H-1, H-2. Provide a brief statement of the percentage of students receiving need-based aid, merit-based aid, and aid based on athletic participation.
- G. Information concerning percentage of students who received Pell Grants.

### Section III. Faculty

*Please follow earlier instructions regarding data for your liberal arts and sciences program, if applicable.*

- A. Information on faculty conforming to CDS I-1, I-2 for the entire institution and for your liberal arts and sciences program as you have defined above.
- B. Number of full-time faculty in arts and sciences by rank and department.
- C. Number of Phi Beta Kappa members on the full-time arts and sciences faculty or academic staff (excluding *emeriti*). List Phi Beta Kappa members by name, stating rank, department, tenure status, year of induction, and institution. Include name at time of Phi Beta Kappa induction if different from current name.

*IMPORTANT NOTE: Because charters are granted to the Phi Beta Kappa members on the faculty rather than to the institution per se, it is important that there be an adequate and stable nucleus for organizing a new chapter and efficiently conducting its activities. For that reason, the Phi Beta Kappa group must be at least 10 percent of the full-time arts and sciences teaching faculty, and in no instance fewer than 10 full-time faculty members.*

- D. Description of the categories of faculty employment at the institution, e.g., tenured, tenure-track, non-tenure track renewable, adjunct, etc., with an account of the pay, benefits, organization, and governance responsibilities to any categories outside tenured and tenure-track, with a display of the number in each category for each of the last five academic years.
- E. Information concerning the role of the faculty, including part-time and full-time faculty, in governing the institution and determining curriculum.
- F. In one table, percentage of instruction conducted by non-tenure/ tenure-track faculty; percentage of instruction conducted by faculty with part-time contracts; and percentage of instruction conducted by graduate assistants.
- G. Listing of the five largest liberal arts departments with courses most commonly taught by part-time faculty or graduate assistants, with percentage of instruction in each.
- H. Typical teaching assignment in courses or credit hours per year for each faculty rank (including non-tenure/ tenure-track ranks).
- I. Policies concerning faculty teaching credit for laboratory and studio courses.

- J. Processes and criteria governing hiring, promotion, tenuring, post-tenure review, and compensation of faculty.
- K. Percentage of faculty reaching eligibility for tenure who are awarded tenure. Give data for each of the most recent ten academic years.
- L. Sabbatical leave program or other program involving institutional support for creative work and scholarship by individual members of the faculty. Indicate by department the number—not names—of arts and sciences faculty who have taken advantage of these programs or have obtained outside support for research, scholarship, and creative activity in the past five academic years (Fall 2013 – Spring 2018). List separately sabbatical support and non-sabbatical grants. Indicate instructional relevance as applicable. Indicate external grants for faculty development, and state the institution’s policy on support for research.
- M. Information on faculty salaries drawn from reports to the AAUP for each of the five most recent academic years. Include only arts and sciences faculty working with full-time contracts; show high, low, and average salaries first by rank and then by gender within rank. Conclude with a statement of the policy regarding compensation and course load of part-time faculty.

#### **Section IV. Curriculum**

*Please note instructions in the cover letter regarding data for your liberal arts and sciences program, as applicable.*

- A. Information describing the common curriculum required of all students for the B.A., B.S., and any other baccalaureate degrees. Include any catalog statement pertaining to liberal education.
- B. List of major and minor fields of study for the liberal arts and sciences program for each of the five most recent academic years.
- C. List of options available for completing requirements in mathematics and foreign languages. (*Prospective Phi Beta Kappa inductees must show work in both areas.*)

## **Section V. Campus Programs**

*Note instructions in the cover letter regarding data for your liberal arts and sciences program, if applicable.*

- A. Information regarding honors programs. Include admissions criteria, description of requirements and opportunities, percentage participating, and percentage completing.
- B. Information regarding undergraduate research requirements or opportunities.
- C. Information regarding academic support resources such as writing or math centers and tutoring.
- D. Information regarding campus opportunities conforming to CDS F-2.
- E. Information regarding off-campus opportunities conforming to CDS E-1. List study-abroad opportunities separately and give numbers participating in each for the last five academic years.
- F. Percentage of students in each of the last five graduating classes who participated in credit-bearing domestic off-campus programs and percentage participating in credit-bearing study abroad programs. Explain faculty participation.
- G. Information regarding graduate and professional school placement of graduates, including the numbers of students placed and the names of the schools, for each of the past five academic years.
- H. Information regarding nationally recognized scholarship and fellowship recipients (e.g., Rhodes, Marshall, Fulbright, Gates, Watson) for each of the past five academic years.

## **Section VI. Library and Technological Resources**

- A. Library Collections (At the end of 2017-2018)
  - 1. Books, serial backfiles, and other paper materials (include government documents)
  - 2. EBooks
  - 3. Microforms
  - 4. Audiovisual materials
  - 5. Current serial titles
- B. Digital Resources
  - 1. Number of online electronic journal subscriptions. Please include all subscriptions obtained through consortial agreements.
  - 2. List of up to twenty electronic databases and indexes subscribed to or licensed by the library. Please include any obtained through consortial agreements.
  - 3. List of any non-serial electronic resources made available to the campus through library subscriptions or licenses, for example, e-books, aggregated collections of digitized materials, etc.
  - 4. List of any electronic collections to which the library subscribes not included in the above categories.
- C. Number of Permanent Library Staff
- D. Annual library budget for the past five academic years for these three categories:
  - 1. Acquisitions
  - 2. Operations
  - 3. Staff
- E. Facilities
  - 1. Number of library or information centers, main and branch
  - 2. Number of seats per FTE student
  - 3. Hours of operation
  - 4. Percentage of collections housed in the library (i.e., not in storage)
- F. Reference and Instruction
  - 1. Number of instruction sessions annually and number of participants

2. Description of reference services provided by e-mail
  3. Description of chat reference services provided, including the hours of operation
  4. Description of staffing of a professional reference librarian, including hours available and off-hours plan
  5. List of programs at your institution related to information literacy, including how the instructional role of the library/librarians accommodates the changing nature of resource accessed
- G. Number of items loaned through circulation. Please do not include items loaned through Interlibrary Loan.
- H. Computer infrastructure for users, including:
1. Number of computer workstations
  2. Shared facilities with the campus information technology services (computer labs, for example)
  3. Laptops available for checkout
- I. Access to collections in other institutions
1. List of consortial partnerships. List any benefits obtained through these consortial memberships.
  2. Number of items borrowed annually through Interlibrary Loan. These can include electronically transmitted materials.
  3. Number of items loaned annually. These can include electronically transmitted materials.
  4. Funds available for access to other libraries (For example, does your library pay for faculty/students to use larger research libraries when your collections do not meet particular research needs?)
  5. Shared storage facility arrangements
- J. In no more than 500 words, please describe how the library's collections and services support the institutional mission.

## **Section VII. Financial Information**

- A. Table showing a) Full-time Fall term enrollment and b) FTE Fall term enrollment for each of the last 10 academic years.
- B. Information regarding the market value of the institution's endowment, with a statement of the spending policy and an indication of the contribution made by the endowment to the institution's revenues in each of the past 10 academic years, expressed both as a U.S. dollar figure and as a percentage of total revenue (excluding auxiliaries).
- C. Information regarding revenues derived from tuition and fees in each of the past five academic years, with an indication of the tuition discount rate in each year. (Show total institutionally funded financial aid as a percentage of total tuition and fee income.)
- D. Information regarding revenues derived from public or private sources other than endowment or tuition and fees (e.g., donor gifts, religious organization contributions, legislative appropriations) in each of the past five academic years, expressed as U.S. dollar figures and as percentages of total revenue (excluding auxiliaries), with a statement of the policies governing these revenue sources.
- E. Information regarding total institutional revenues (excluding auxiliaries) compared to total expenditures in each of the past five academic years, with a statement of excess of revenues over expenditures or the reverse.
- F. Information regarding total instructional expenditures in arts and sciences (compensation, operating budgets, capital outlays) in each of the past five academic years, as a U.S. dollar figure and as a percentage of total institutional instructional expenditures.
- G. Information regarding the discount rate (as reported in IPEDS) for each of the last 10 academic years.

**Section VIII. Campus Facilities**

- A. In approximately 200 words, provide an updated narrative of institutional facilities over the last five academic years.
- B. Information regarding capital expenditures in each of the past five academic years on instructional equipment, specifically, and on the campus overall.
- C. Information regarding policies related to the sustainability in the operation and maintenance of buildings and grounds.

**Section IX. Athletics**

- A. Statement of athletic memberships and affiliations
- B. Information regarding the governance and organization of the intercollegiate athletic program, including lines of responsibility from athletics administrators to the President and governing body.
- C. Information regarding varsity sports participation conforming to NCAA Gender Equity Survey, Table 1, indicating in each of the past five academic years the number of sports offered by gender, and the total number of participants in all sports by gender.
- D. Information regarding sports operating expenses, recruiting expenses, and revenues in each of the past five academic years, conforming to NCAA Gender Equity Survey, Tables 4, 5, and 7.
- E. Information regarding athletically related student aid in each of the past five academic years, conforming to NCAA Gender Equity Survey, Table 6.
- F. Table showing the graduation rates for varsity athletes by gender, and their rates for each sport individually, over the past five academic years.
- G. Brief description of any programs designed to provide academic support for athletes.
- H. Table comparing the graduation rates for varsity athletes over the past five academic years with those of the general undergraduate population.

**Section X. Institutional Support**

- A. Description of the institution's commitment to assure the success of a chapter of Phi Beta Kappa on campus. Examples include ongoing administrative and budgetary support, level of engagement by senior leaders of the institution, and willingness to promote the chapter online as well as within the campus community.



## **Preliminary Application Appendix Stipulations Concerning Eligibility for Membership in Course**

Eligibility for election to membership in course shall be contingent upon fulfillment of the following minimum requirements. Chapters are expected to determine the specific application of standards stated in these stipulations.

### **Stipulation 1**

Eligible students shall be candidates for a bachelor's degree. The student's record shall include coursework in the liberal arts and sciences equivalent to at least three-quarters of the credits ordinarily required for a bachelor's degree in these fields (e.g., not less than 90 semester hours of work if 120 hours are normally required for such a degree). The liberal arts and sciences encompass the traditional disciplines of the natural sciences, mathematics, social sciences, and humanities. Select courses in other programs of study may be included only if they unambiguously embody the liberal arts and sciences.

Because Phi Beta Kappa honors excellence in the liberal arts and sciences, applied or pre-professional coursework shall not be considered in determining eligibility. This stipulation excludes professionally focused courses and courses devoted to the acquisition of practical skills.

### **Stipulation 2**

Weight shall be given to the breadth and depth of study in liberal arts and sciences, taking into account the number, variety, and level of courses taken outside the requirements of the major, and the proportion of the candidate's overall program those courses constitute. Consideration shall also be given to the number of elective courses taken above the introductory, or general education, level.

### **Stipulation 3**

Candidates shall have demonstrated, by successful work in high school or college, or in the two together, a knowledge of a second or non-native language at least minimally appropriate for a liberal education. In no case shall this mean less than the completion of the intermediate college level in a second, or non-native, language, or its equivalent.

### **Stipulation 4**

The candidate's undergraduate record shall include at least one course in college-level mathematics, logic, or statistics, with content appropriate to a liberal arts and sciences curriculum. The course should introduce the student to mathematical ideas, abstract thinking, proofs, and the axiomatic method.

### **Stipulation 5**

In keeping with the Founders' interest in fostering not only academic excellence but also friendship and morality, invitation to Phi Beta Kappa should be extended only to persons of good moral character.

*These stipulations concerning eligibility for membership in course were adopted by vote of the chapters and certified by the Executive Committee on behalf of the Senate on June 1, 2011.*