

D. 2006 Academic library Survey (ALS) Questionnaire and Instructions



Academic Libraries Survey: 2006

National Center for Education Statistics
Institute of Education Sciences
U.S. Department of Education
OMB No. 1850-0781 – Expiration Date June 30, 2009
Survey ends Thursday, March 22, 2007

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Introduction

Welcome to the Academic Libraries Survey (ALS) site. This survey is conducted biennially by the National Center for Education Statistics (NCES) with the U.S. Census Bureau acting as its data collection agent. Participation in this survey is voluntary.

Purpose of the Survey

The survey fulfills a congressional mandate “The Statistics Center shall collect, report, analyze, and disseminate statistical data related to education in the United States ...” as authorized under Section 153(a) of the *Education Sciences Reform Act of 2002* (H.R. 3801). Specifically, this survey collects data on library collections, transactions, staff, services, and expenditures for a status report on the libraries of postsecondary institutions.

Uses of the Data

Congress uses the data to assess the need for revisions to existing legislation concerning postsecondary libraries and the allocation of Federal funds. Federal agencies use the data to evaluate and administer library programs. State education agencies, library associations, and researchers use the survey data to determine the status of academic library operations and the profession, and to analyze national and regional trends in academic library resources.

Institutional Burden

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1850-0781. The time required to complete this information collection is estimated to average 1 hour and 40 minutes per response, including the time spent to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. If you have comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form, e-mail: govs.aclib@census.gov, or write to: Academic Libraries Survey, National Center for Education Statistics, 1990 K St., NW, #9030, Washington, DC 20006.

NCES Privacy Policy and Use of Cookies by the ALS Survey

This notice is to assure respondents that NCES does not use cookies to collect personal information. This system was developed using Microsoft Active Server Pages (ASP). This technology (and competing technologies) requires the web server to remember users as they move from page to page during their data entry session. The web server accomplishes this task by assigning a unique “session ID” to a user when they log on. In order to support multiple users accessing the system at the same time, the web server uses a “cookie” to track the session ID. The web server sends a cookie to the user’s browser when a new session is created. This cookie contains the session ID and no personal data about the user. No information besides the session ID is written to the user’s hard drive. The cookie is deleted when the user closes the browser. The most recent versions of Microsoft Internet Explorer and Netscape Navigator allow for rejecting all cookies other than those required for session tracking.

NOTE: Session ID cookies are required to run this application. The complete NCES Privacy Policy is available on the NCES website at <http://nces.ed.gov/help/privacy.asp>.

SURVEY ELIGIBILITY

Please answer the following questions to determine if you are eligible to complete this survey:

- | | | |
|----|--|--------|
| a. | Do you have an organized collection of printed or other materials or a combination thereof? | Yes/No |
| b. | Do you have paid staff trained to provide and interpret such materials as required to meet the informational, cultural, recreational, or educational needs of clientele? | Yes/No |
| c. | Do you have an established schedule in which services of the staff are available to clientele? | Yes/No |
| d. | Does the library have the physical facilities necessary to support such a collection, staff, and schedule? | Yes/No |

(This question will popup if any of the 4 questions above are answered no.)

- | | | |
|----|---|--------|
| e. | Does your institution provide financial support to another library? | Yes/No |
|----|---|--------|

Thank you for your time.

ACADEMIC LIBRARIES SURVEY

PART A – NUMBER OF PUBLIC SERVICE OUTLETS, FY 2006

Line No.	Item	Number
01	Branch and independent libraries – Exclude main or central library	_____

PART B – LIBRARY STAFF, FALL 2006 AND SALARIES/WAGES, FY 2006

(Exclude maintenance and custodial staff, volunteers and contributed services staff)

Note: Report FTE data to two decimals.

Line No.	Staff	FALL 2006 Number of full-time equivalents (FTEs) (1)	FY 2006 Salaries and wages (whole dollars only) (2)
02	Librarians	_____	
03	Other professional staff	_____	
04	Total librarians and other professional staff (sum lines 02 and 03, col. 1)	_____	\$ _____
05	All other paid staff (except student assistants)	_____	\$ _____
06	Student assistants from all funding sources	_____	\$ _____
07	Total full-time equivalent (FTE) staff (sum lines 04 through 06, cols. 1 & 2)	_____	\$ _____

08a Are employee fringe benefits paid from the library budget?
If no, select “N” and skip to Part C, line 10 _____ (Yes/No)

08b Employee fringe benefits (if paid from library budget) \$ _____

ACADEMIC LIBRARIES SURVEY

PART C - LIBRARY EXPENDITURES, FY 2006

Note: See instructions for exclusions and definitions.

Line No.		Amount (whole dollars only)
09	Total salaries and wages (same as line 07, col. 2):	\$ _____
	Information resources:	
10	One-time purchases of books, serial backfiles and other materials	\$ _____
11	Electronic \$ _____	
12	Audiovisual \$ _____	
13	Ongoing commitments to serial subscriptions	\$ _____
14	Electronic serials \$ _____	
	Other information resources:	
15	Document delivery/interlibrary loan	\$ _____
16	Preservation	\$ _____
17	Other expenditures for information resources	\$ _____
	Operating expenditures:	
18	Computer hardware and software (include maintenance)	\$ _____
19	Bibliographic utilities, networks and consortia	\$ _____
20	All other operating expenditures	\$ _____
21	TOTAL EXPENDITURES (Sum lines 09, 10, 13, 15 through 20)	\$ _____

ACADEMIC LIBRARIES SURVEY

PART D – LIBRARY COLLECTIONS, FY 2006

Is the library collection entirely electronic? Yes/No _____

Line No.	Collections	Added during the Fiscal Year (1)	Held at end of Fiscal Year (2)
22	Books, serial backfiles and other paper materials (include government documents)	_____	_____
23	E-Books	_____	_____
24	Microforms	_____	_____
25	Audiovisual materials	_____	_____
26	Current serial titles	_____	_____
27	Electronic reference sources and aggregation services	_____	_____

ACADEMIC LIBRARIES SURVEY

PART E – LIBRARY SERVICES, FY 2006

Note: See instructions for exclusions and definitions.

Line No.	Services	Number
Interlibrary loans and documents <u>provided</u> to other libraries:		
28a	Returnable	_____
28b	Non-returnable	_____
29	Total provided (sum lines 28a and 28b)	_____
Interlibrary loans and documents <u>received</u>:		
30	Returnable	_____
31	Non-returnable	_____
32	Documents received from commercial services	_____
33	Total received (sum lines 30, 31, 32)	_____
Circulation:		
34a	General circulation transactions	_____
34b	Reserve circulation transactions	_____
Information services to groups:		
35	Number of presentations	_____
36	Total attendance at all presentations	_____

ACADEMIC LIBRARIES SURVEY

PART F – LIBRARY SERVICES, TYPICAL WEEK, FALL 2006

Note: See instructions for exclusions and definitions.

Line No.	SERVICES	Number in a TYPICAL WEEK
37	Number of weekly public service hours	_____
38	Gate count in a typical week	_____
39	Reference transactions in a typical week	_____

ACADEMIC LIBRARIES SURVEY

PART G – ELECTRONIC SERVICES, FY 2006

Please respond to each item by selecting “Y” or “N”. If answering for more than one library, select “Y”, if at least one has the service.

Line No.	Services	Yes/No
	Does your library provide the following?	
40	Documents digitized by the library staff	_____
41	Library reference service by e-mail or the Web	_____
42	Technology to assist patrons with disabilities (e.g., TDD, specially equipped work stations)	_____
43	Electronic theses and dissertations produced by your students	_____

ACADEMIC LIBRARIES SURVEY

PART H – INFORMATION LITERACY, FY 2006

Note: See instructions for definition.

Please respond to each item by selecting “Yes” or “No”.

Line No.	Does your institution have the following, or has it done the following?	Yes/No
44.	A definition of information literacy or of an information literate student	_____
45.	Incorporated information literacy in the institution’s mission	_____
46.	Incorporated information literacy in the institution’s strategic plan If no, select “N” and skip lines 46a and 46b.	_____
46a.	An institution-wide committee to implement the strategic plan for information literacy	_____
46b.	The strategic plan formally recognizes the library’s role in information literacy instruction	_____

Instructions for the Academic Library Survey – FY 2006

GENERAL INSTRUCTIONS

Please respond to each item in this survey in the place provided. If the appropriate answer for an item is zero or none, use "0." If you do not collect data for an item, provide your best estimate. **PLEASE DO NOT LEAVE ANY ITEMS BLANK.** If an item is left blank, NCES will estimate a value. Include data for the main or central library and all branch and independent libraries that were open all or part of fiscal year 2006.

LIBRARY - An entity that provides all of the following:

1. An organized collection of printed or other materials or a combination thereof
2. A paid staff trained to provide and interpret such materials as required to meet the informational, cultural, recreational, or educational needs of clientele
3. An established schedule in which services of the staff are available to clientele
4. The physical facilities necessary to support such a collection, staff, and schedule.

This includes libraries that are part of learning resource centers.

PERIOD OF REPORT - Report information for the following time periods as specified in each section:

- 1. Fiscal year 2006** - Any 12-month period between June 1, 2005 and September 30, 2006 which corresponds to your institution's fiscal year (for Parts A, B, C, D, E, G, and H).
- 2. Typical week, Fall 2006** - A typical week is one that is neither unusually busy nor unusually slow. Avoid vacation periods for key staff or days when unusual events are taking place on the campus or in the library. Choose a week in which the library is open its regular hours. Include any seven consecutive calendar days (for Part F).
- 3. Fall 2006** - The period during the fall of 2006 when the survey form is being completed (for Part B).

PART A - NUMBER OF PUBLIC SERVICE OUTLETS, FISCAL YEAR 2006

Branch and independent libraries (line 01) - Report the number of branch and independent libraries at your institution that were open all or part of fiscal year 2006. **EXCLUDE THE MAIN OR CENTRAL LIBRARY.** Branch and independent libraries are defined as auxiliary library service outlets with quarters separate from the central library of an institution, which have a basic collection of books and other materials, a regular staffing level, and an established schedule.

Branch and independent libraries are administered **either** by the central library or, as in the case of

some libraries (such as law, medical, etc.), through the administrative structure of other units within the university. Departmental study/reading rooms are not included. Include data for all branch and independent libraries on the campus. Include libraries on **branch campuses** (i.e., located in another community) if those campuses are registered under the same NCES UNITID number as the main campus.

PART B - LIBRARY STAFF, FALL 2006 AND SALARIES/WAGES, FY 2006

Column (1), Full-time equivalent (FTE) employees (lines 02-07) - Report the number of filled or temporarily vacant FTE positions during Fall 2006 paid from funds under library control. To compute FTEs of part-time employees and student assistants, take the TOTAL number of hours worked per week by part-time employees IN EACH CATEGORY and divide it by the number of hours CONSIDERED BY THE REPORTING LIBRARY TO BE A FULL-TIME WORK WEEK (e.g., 60 hours per week of part-time work divided by 40 hours per full-time week equals 1.50 FTE). Data should be reported to two decimal places.

Do NOT report contributed services staff, such as members of religious orders, whose services are valued by bookkeeping entries rather than by full cash transactions. DO NOT include volunteers.

Column (2), Salaries and wages (lines 04-07) - Report expenditures in FY 2004 for full-time and part-time salaries and wages before deductions. Exclude employee fringe benefits provided by your institution for all regular library staff that may be reported on line 08b. Include salaries and wages from all sources paid to students serving on an hourly basis, if available (e.g., College Work Study Program). Exclude maintenance and custodial staff, volunteers, and contributed services staff.

Librarians (line 02) - Report the total FTE of staff whose duties require professional education (the master's degree or its equivalent) in the theoretical and scientific aspects of librarianship.

Other professional staff (line 03) - Report the total FTE of staff whose duties require education and/or training in related fields (e.g., academic disciplines, archives, media, computing).

Total librarians and other professional staff (line 04) - Report the sum of lines 02 and 03, column 1.

All other paid staff (except student assistants) (line 05) - Report the total FTE of all other library staff who are paid annual salaries or hourly wages except students paid hourly, who are reported on line 06. Include technical and clerical staff, but exclude maintenance and custodial staff, volunteers, and contributed services staff.

Student assistants from all funding sources (line 06) - Report the total FTE of student assistants, employed on an hourly basis whose wages are paid from funds under library control or from a budget other than the library budget, including College Work Study Program. Exclude maintenance and custodial staff, volunteers, and contributed services staff.

Total FTE staff (line 07) - Report the sum of lines 04 through 06, columns 1 and 2.

Employee fringe benefits (line 08a) - If benefits are paid from the library budget, select "Y" and report the amount in line 08b. If benefits are not paid from the library budget, select "N" and skip to Part C, line 10.

(line 08b) - If benefits are paid from the library budget, report the amount here.

PART C - LIBRARY EXPENDITURES, FISCAL YEAR 2006

Total salaries and wages (line 09) - This line will automatically be filled in from the total Salaries and Wages Expenditures line 07, column 2, in Part B.

Expenditures on information resources and operations (lines 10-21) - Report funds expended by the library in fiscal year 2006 (regardless of when received) from its regular budget and from all other sources; e.g., research grants, special projects, gifts and endowments, and fees for services. If items in this section are not paid from the library budget but can be easily identified in other parts of the institution's budget, report them here. Expenditures should be reported for the 12-month period that corresponds to your library's fiscal year between the calendar period June 1, 2005 to September 30, 2006. All expenditures should be reported in whole dollars in the most appropriate category to provide an unduplicated count of expenditures. Exclude expenditures for new buildings and building renovation.

Information resources (lines 10-17) -

One time purchases of books, serial backfiles, and other materials (line 10) - Report expenditures for published materials in all formats except current subscriptions to serials.

Electronic (line 11) - Report expenditures that are not current subscriptions to serials (i.e. are non-subscription, one-time, or monographic in nature) for software and machine-readable materials considered part of the collections. Examples include serial backfiles, literature collections, and one-time costs for electronic backfiles, etc. These expenditures have already been reported as part of line 10 above. Therefore, line 11 is not added into Total Expenditures on line 21.

Audiovisual (line 12) - Report expenditures for all library materials that are displayed by visual projection or magnification or through sound reproduction, or both, including graphic materials, audio materials, motion pictures, video materials, and special visual materials such as three-dimensional materials. These expenditures have already been reported as part of line 10 above. Therefore, line 12 is not added into Total Expenditures on line 21.

Ongoing commitments to current serial subscriptions (line 13) - Report expenditures for ongoing subscriptions to serials in all formats. These are publications issued in successive parts, usually at regular intervals, and, as a rule, intended to be continued indefinitely. Serials include periodicals, newspapers, annuals (reports, yearbooks, etc.), memoirs, proceedings, and transactions of societies.

Electronic serials (line 14) - Report subscription expenditures (or those which are expected to be ongoing commitments) for serial publications whose primary format is electronic. Examples include paid subscriptions for electronic journals and indexes/abstracts available via the Internet, CD-ROM

serials, and annual access fees. These expenditures have already been reported as part of line 13. Therefore, line 14 is not added into Total Expenditures on line 21.

Other Information Resources (lines 15-17) -

Document delivery/interlibrary loan (line 15) - Report expenditures for document delivery and interlibrary loan services. Include fees paid for photocopies, costs of facsimile transmission, royalties and access fees paid to provide document delivery or interlibrary loan. Include fees paid to bibliographic utilities if the portion paid for interlibrary loan can be separately counted. Do not count expenditures related to transactions between the main or central library and any libraries reported in Part A, transactions between libraries reported in Part A, or expenditures for on campus delivery.

Preservation (line 16) - Report expenditures associated with maintaining library and archival materials for use either in their original physical form or in some other usable way. This includes but is not limited to binding and rebinding, materials conservation, deacidification, lamination, and restoration. Do not include staff salaries and wages.

Other expenditures for information resources (line 17) - Report any other collection expenditures not already included on lines 9, 12, 14, and 15, such as expenditures for cartographic materials and manuscripts. Include copyright fees and fees for database searches.

Operating Expenditures (lines 18-20) -

Computer hardware and software (line 18) - Report expenditures from the library's operating budget for computer hardware and software used to support library operations, whether purchased or leased, local or remote. Include expenditures for maintenance. Include the expenditure for equipment used to run information service products when that expenditure can be separated from the price of the product. Exclude expenditures reported on line 14.

Bibliographic utilities, networks, and consortia (line 19) - Report expenditures from the library operating budget for services provided by national, regional, and local bibliographic utilities, networks, and consortia. Exclude expenditures already reported on lines 11, 14, and 15.

All other operating expenditures (line 20) - Report all other expenditures from the library's operating budget not already reported on lines 09 through 19 except employee fringe benefits that are reported on line 08b. Exclude capital expenditures for new buildings and building renovations. Include all expenditures for furniture and equipment except computer hardware, which should be reported on line 18. Include any related maintenance costs.

Total Expenditures (line 21) - Report the sum of lines 09, 10, 13, 15 through 20.

PART D - LIBRARY COLLECTIONS, FISCAL YEAR 2006

NOTE - This section of the survey collects data on selected types of material. It does not cover all materials.

Column (1), Total number added during fiscal year - Report the gross number of each category added. Do not subtract the number withdrawn.

Column (2), Total number held at end of fiscal year - Report the total number of each category held at end of fiscal year. To get this figure, take the total number held at the end of the previous fiscal year, add the number added during the fiscal year just ended and subtract the number withdrawn during that period.

Books, serial backfiles and other paper materials (include government documents) (line 22) - Report the number of volumes using the ANSI/NISO Z39.7-1995 definition for volume, which is as follows: A single physical unit of any printed, typewritten, handwritten, mimeographed, or processed work, distinguished from other units by a separate binding, encasement, portfolio, or other clear distinction, which has been cataloged, classified, and made ready for use, and which is typically the unit used to charge circulation transactions. Include duplicates and bound volumes of periodicals. For purposes of this questionnaire, unclassified bound serials arranged in alphabetical order are considered classified. Exclude microfilms, maps, nonprint materials, and uncataloged items. Include Government document volumes that are accessible through the library's catalogs regardless of whether they are separately shelved. "Classified" includes documents arranged by Superintendent of Documents, CODOC, or similar numbers. "Cataloged" includes documents for which records are provided by the library or downloaded from other sources into the library's card or online catalogs.

E-Books (line 23) - Report the number of electronic monographs that have been cataloged by your library and are accessible through the library's catalog.

Microforms (line 24) - Report units of all photographic reproduction of textual, tabular, or graphic materials reduced in size so that they can be used only with magnification. Examples of microforms are roll microfilm, microcard, microfiche, and ultrafiche.

Audiovisual Materials (line 25) - Report units of all library materials that are displayed by visual projection or magnification or through sound reproduction, or both, including graphic materials, audio materials (include audio books), motion pictures, video materials, and special visual materials such as three-dimensional materials.

Current serial titles (line 26) - Report the total number of titles in all formats. If the title comes in both paper and electronic form, count it twice. Count each individual title if it is received as part of a publisher's package. Include paper and microfilm government documents issued serially if they are accessible through the library's catalog. Report indexing and abstracting services that may contain full-text in line 27.

Electronic reference sources and aggregation services (line 27) - Report the total number of citation indexes and abstracts; full-text article databases; full-text reference sources (e.g., encyclopedias, almanacs, biographical and statistical sources and other quick fact-finding sources); and dissertation and conference proceedings databases. Licensed electronic resources also include those databases that institutions mount locally. [Aggregation services are defined by NISO z39.7-2004 as "4.10.3.2 Aggregated Full Text Databases: Collection of both bibliographic references and full text articles from periodical and/or other titles presented on a continuous basis that may relate to a common

discipline or may provide multi-disciplinary coverage. This includes electronic reference and indexing tools which, if existed in print form, would be counted as periodicals. The content of aggregated full text databases consists predominately of full text articles rather than bibliographic references without associated full text, although both may be represented in the database."]

PART E - LIBRARY SERVICES, FISCAL YEAR 2006

Interlibrary loans and documents (lines 28-33) - On lines 28a and 28b, report the number of filled requests for material provided to other libraries. On lines 30 and 31, report the number of filled requests for material received. Do not include transactions between the main or central library and any libraries reported in Part A or transactions between libraries reported in Part A.

Returnables (lines 28a and 30) - Report materials that the supplier/lending library expects to have returned. Examples of returnables include books, dissertations and theses, microfilm reels, sound recordings, and audiovisual material.

Non-returnables (lines 28b and 31) - Report materials that the supplier/lending library does not expect to have returned. Examples of non-returnables include photocopies or facsimiles, fiche-to-fiche copies, print copies from microfilm, electronic full-text documents, and gratis print copies of unpublished reports and/or departmental working papers.

Documents delivered from commercial services (line 32) - Report the number of documents from commercial document delivery services received by your users. Count all transactions for which the library pays even if library staff is not involved in the transaction. Include documents received by regular or express mail, by fax, or in electronic form.

Total provided (line 29) - Sum lines 28a and 28b. **Total received (line 33)** - Sum lines 30, 31, and 32.

General circulation transactions (line 34a) - Report the number of items lent from the general collection. Include both initial transactions and renewals.

Reserve circulation transactions (line 34b) - Report reserve transactions of all types. Include both initial transactions and renewals.

Information services to groups (lines 35 and 36) - Report the total number of presentations (line 35) and the total number of persons attending or served by those presentations (line 36). Information services to groups are presentations at which a staff member or person invited by a staff member provides information intended for a number of persons and planned in advance. These services may be either bibliographic instruction or library use presentations, or cultural, recreational, or educational presentations. Presentations both on and off the library premises should be included, as long as they are sponsored by the library. Do not include meetings sponsored by other groups using library meeting rooms.

PART F - LIBRARY SERVICES - TYPICAL WEEK, FALL 2006

Collect data during a typical week in the fall. A typical week is one that is neither unusually busy nor

unusually slow. Avoid vacation periods for key staff or days when unusual events are taking place on the campus or in the library. Choose a week in which the library is open its regular hours. Include any seven consecutive calendar days. If waiting for a typical week in Fall 2006 will delay this form, please use typical week data from the preceding fiscal year. If you have data for the entire year, divide by the number of weeks that the library was open.

Number of weekly public service hours (line 37) – Report an unduplicated count of the total public service hours for physical libraries per typical full-service week (i.e., no holidays or other special accommodations) across both main library and branches using the following method (corresponds to IPEDS): If a library is open from 9:00 a.m. to 5:00 p.m. Monday through Friday, it should report 40 hours per week. If several of its branches are also open during these hours, the figure remains 40 hours per week. Should Branch A also be open one evening from 7:00 p.m. to 9:00 p.m., the total hours during which users can find service somewhere within the system becomes 42 hours per week. If Branch B is open the same hours on the same evening, the count is still 42, but if Branch B is open two hours on another evening, or remains open two hours later, the total is then 44 hours per week. Exclude 24-hour unstaffed reserve or similar reading rooms. The maximum total is 168 (i.e., a staffed reading room open 7 days per week, 24 hours per day).

Gate count in a typical week (line 38) - Report the number of persons who physically enter library facilities in a typical week. It is understood that a single person may be counted more than once.

Reference transactions in a typical week (line 39) - Report the total number of reference transactions in a typical week. A reference transaction is an information contact that involves the knowledge, use, commendation, interpretation, or instruction in the use of one or more information sources by a member of the library staff. Information sources include printed and non-printed materials, machine-readable databases (including assistance with computer searching), the Web, catalogs and other holdings records, and, through communication or referral, other libraries and institutions, and persons both inside and outside the library. Include transactions in person, by phone, by e-mail, by the Web, and count transactions that take place at the reference desk, as well as elsewhere. Include information and referral services. If a contact includes both reference and directional services, it should be reported as one reference transaction. When a staff member utilizes information gained from a previous use of information sources to answer a question, report as a reference transaction, even if the source is not consulted again during this transaction. Duration should not be an element in determining whether a transaction is a reference transaction.

Do not report directional transactions here. A directional transaction is an information contact which facilitates the use of the library in which the contact occurs and which does NOT involve the knowledge, use, recommendation, interpretation, or instruction in the use of any information sources other than those which describe the library; such as schedules, floor plans, handbooks, and policy statements. Examples of directional transactions include giving instruction in locating, within the library, staff, library users, or physical features, etc., and giving assistance of a nonbibliographic nature with machines.

PART G - ELECTRONIC SERVICES – FISCAL YEAR 2006

This section requests information about the electronic services provided by the library. The questions require a "yes" or "no" response.

PART H - INFORMATION LITERACY – FISCAL YEAR 2006

Information Literacy is the set of skills needed to find, retrieve, analyze, and use information. The questions require a "yes" or "no" response.