1989

Library Services Improvement Act (1988-1989): Correspondence 01

Lauro F. Cavazos

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Enclosed for consideration of the Congress is the "Library Services Improvement Act of 1989," a legislative proposal to increase the impact of libraries on education and learning in the Nation. The proposal would redefine the Federal role in improving library services. The basic purpose of current law has been to expand library services so that every community could be served; over the past thirty years this purpose has been substantially achieved. The Federal focus should now be shifted from improving access to library services for the general public to making specific improvements in the quality of library programs. We need to emphasize those activities allowable under current law that are still needed and discontinue those that are well established and for which there is now little need for continued Federal assistance.

Thus, this legislative proposal would replace the Library Services and Construction Act and title II of the Higher Education Act, and would authorize three new programs of Federal assistance to libraries. These programs would improve the contribution of libraries to the education of economically disadvantaged or handicapped individuals through support for new programs or services; increase access to a greater variety of library materials through support for resource sharing; and support research and assessments needed to improve library services. The proposal would improve upon existing Federal aid to the Nation's library activities, reflecting what is, for today, an appropriate Federal role in support of libraries.

An important mission of the Department of Education is to foster equal opportunity by promoting literacy among disadvantaged Americans. Although libraries may be the most effective self-help resource available, disadvantaged individuals frequently do not use them to their maximum advantage. Our proposed legislation would facilitate greater use of libraries by these individuals through a State formula grant program, with States choosing local projects. Examples of projects that could be supported include adult education in cooperation with local schools; adult literacy training and English instruction in the local public library; after-school homework programs; summer reading programs; and purchase of large-print books and other special materials and equipment for use by handicapped persons. Our proposal would also set aside funds for grants to Indian tribes for improving library services.

Another appropriate and needed Federal role is addressing the need for access to a greater variety of library materials. It will never be possible to have everything in every library, but the technology currently exists for electronically sharing library books, materials, and information throughout a region or even nationally. Interlibrary loans and networks have increased
in recent years, but without incentives to do otherwise, the inclination is for a library to serve only its intended clientele and not to loan its books and materials outside its service area. On the other hand, in poor or remote communities, a good network is likely the best means of providing full library services. Further, library networks facilitate access to rare or unique collections, thus providing a nationwide resource. Therefore, in order to promote increased access to library materials, the proposal would authorize a program to provide seed money for new, or expansions of existing, library resource sharing networks. In addition to a State formula grant program that would support networks both within a State and between States, the bill would authorize the Secretary to award discretionary funds for projects supporting only interstate networking. This assistance for new or expanded regional and national networks would help make library collections more widely available, facilitating use of materials by individuals and by other libraries.

Finally, the conduct of research and assessment in the field of library and information science is an important Federal role. Libraries are moving forward unevenly in utilizing new computer and communications technology. Carefully designed research on the impact of this technology on library services, followed by effective dissemination of research findings, could greatly improve one of the Nation's primary educational resources—the library. Both field-initiated research and evaluation by the Department would contribute to improved library services at all types of libraries: public, elementary school, secondary school, college, research, and special libraries.

This legislative proposal defines clearly the role the Federal Government ought to play in support of our Nation's libraries. The changes we propose would strengthen the total library community by improving services to currently underserved individuals, facilitating library networks, and supporting a comprehensive assessment of library services. We will be pleased to answer any questions you may have about the proposal, and look forward to working with the Congress on its enactment. I urge your prompt and favorable action.

Appropriation authorization levels in this legislative proposal are included in the residual freeze category of the President's fiscal year 1990 budget plan. Final decisions concerning programs in this category are to be determined through negotiations between the Administration and the Congress. Accordingly, this proposal, which as drafted reflects President Reagan's fiscal year 1990 budget request, may need to be revised to reflect the results of such negotiations.

The Office of Management and Budget advises that there is no objection to the submission of this legislation to the Congress.

An identical letter is being sent to the Speaker of the House of Representatives.

Sincerely,

Lauro F. Cavazos

Enclosure
A BILL

To improve the contribution of libraries to the education of economically disadvantaged or handicapped individuals, to increase access to library materials through resource sharing, to support research and assessment necessary to improve library services, and for other purposes.

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled, That this Act may be cited as the "Library Services Improvement Act of 1989".

STATEMENT OF PURPOSE

SEC. 2. (a) The purpose of this Act is to improve the contribution of libraries to education and learning by--

(1) encouraging greater use of library services by economically disadvantaged or handicapped individuals;

(2) increasing access to library materials through support for resource sharing; and

(3) supporting research and assessments needed to improve library services.

(b) Nothing in this Act shall be construed to interfere with State and local authority and responsibility for the conduct of library services, including the administration of libraries, selection of personnel and materials, and, to the extent consistent with the provisions of this Act, the determination of the best uses of funds provided under this Act.
DEFINITIONS

SEC. 3. The following definitions apply to this Act:

(1) The term "handicapped individual" means a person who is mentally retarded, hard of hearing, deaf, speech or language impaired, visually handicapped, seriously emotionally disturbed, orthopedically impaired, or learning disabled.

(2) The term "Indian tribe" means any Indian tribe, band, nation, or other organized group or community, including any Alaskan Native village or regional or village corporation as defined in, or established pursuant to, the Alaskan Native Claims Settlement Act, which is recognized by the Secretary of the Interior as eligible for the special programs and services provided by the United States to Indians because of their status as Indians.

(3) The term "library" includes public, school, college and university, research, special, and other libraries.

(4) The term "library service" means the performance of an activity of a library relating to the collection and organization of library materials and information, and to making these materials and information available to a clientele.

(5) The term "network" means any cooperative arrangement among two or more administratively independent libraries for the sharing of books, materials, and services.

(6) The term "Secretary" means the Secretary of Education.
(7) The term "State" means any of the several States of the United States of America, the District of Columbia, or the Commonwealth of Puerto Rico, and, except for section 5 of this Act, American Samoa, the Commonwealth of the Northern Mariana Islands, Guam, Palau, or the Virgin Islands.

(8) The term "State library administrative agency" means the State agency authorized by law to extend and develop public library services throughout the State.

AUTHORIZATION OF APPROPRIATIONS

SEC. 4. (a) There are authorized to be appropriated $91 million for fiscal year 1990, and such sums as may be necessary for each of the four succeeding fiscal years to carry out title I.

(b) There are authorized to be appropriated $45 million for fiscal year 1990, and such sums as may be necessary for each of the four succeeding fiscal years to carry out title II.

(c) There are authorized to be appropriated $1.2 million for fiscal year 1990, and such sums as may be necessary for each of the four succeeding fiscal years to carry out title III.

ALLOTMENTS

SEC. 5. (a)(1) From the amount appropriated to carry out title I for each fiscal year, the Secretary shall reserve one and one-half of one percent for awards to be allotted according to subparagraphs (A) and (B) of this paragraph.
(A) Two-thirds of the amount reserved under this paragraph shall be available for awards to Indian tribes.

(B) One-third of the amount reserved under this paragraph shall be available for awards to American Samoa, the Commonwealth of the Northern Mariana Islands, Guam, Palau (only to the extent authorized by section 104(c) of Public Law 99-658 and until the effective date of the Compact of Free Association with the Government of Palau), and the Virgin Islands, and shall be allotted among these recipients on the basis of their relative need for assistance.

(2) From the amount remaining after funds are reserved under paragraph (1), the Secretary shall allot for each fiscal year one-half of that remainder among the States on the basis of their relative population and one-half of that remainder among the States on the basis of their relative population below the poverty level, except that the Secretary shall allot to each State an amount equal to at least one-half of one percent of that remainder.

(b)(1) From the amount appropriated to carry out title II for each fiscal year, the Secretary shall reserve two-thirds for State programs under part A of title II and one-third for grants under part B of title II.

(2) From the amount reserved for State programs under part A of title II for each fiscal year, the Secretary shall reserve one and one-half of one percent for awards to be allotted according to subparagraphs (A) and (B) of this paragraph.
(A) Two-thirds of the amount reserved under this paragraph shall be available for awards to Indian tribes.

(B) One-third of the amount reserved under this paragraph shall be available for awards to American Samoa, the Commonwealth of the Northern Mariana Islands, Guam, Palau (only to the extent authorized by section 104(c) of Public Law 99-658 and until the effective date of the Compact of Free Association with the Government of Palau), and the Virgin Islands, and shall be allotted among these recipients on the basis of their relative need for assistance.

(3) From the amount remaining after funds are reserved under paragraph (2), the Secretary shall allot for each fiscal year an amount to each State which bears the same ratio to that remainder as the population of the State bears to the population of all of the States, except that the Secretary shall allot to each State an amount equal to at least one-half of one percent of that remainder.

(c) The Secretary may reallocate all or a portion of a State's allotment for any fiscal year if the State does not submit an application to carry out a program under title I or title II, or the Secretary determines that the State does not need or cannot use the full amount of its allotment for that fiscal year. The Secretary may fix one or more dates during a fiscal year upon which to make reallocations.

(d) The population of a State, and the population below the poverty level of a State, and of all of the States, shall be
determined by the Secretary on the basis of the most recent satisfactory data available to the Secretary.

STATE APPLICATIONS

SEC. 6. (a) Any State desiring to receive its allotment under title I or title II of this Act shall submit an application at such time, in such manner, and containing such information, as the Secretary may require. The State application shall cover a period of up to five fiscal years, and shall include descriptions of--

(1) the goals, expressed in measurable terms, that the State seeks to achieve with its allotment under title I, title II, or both titles;

(2) the means by which the State plans to achieve those goals; and

(3) the evaluation methods the State will use to determine whether those goals have been met.

(b) Each State application shall contain such assurances as the Secretary determines are necessary to carry out the purposes of this Act, including assurances that--

(1) the State will inform interested parties or potential participants of (A) the availability of funds, (B) the State's priority geographic areas, and (C) the State's procedures for selecting projects to be supported with funds under title I, title II, or both titles;
(2) the State library administrative agency will act as administrative and fiscal agent for the programs under this Act, and will implement such fiscal control and accounting procedures as may be necessary to ensure the proper disbursement of, and accounting for, Federal funds paid to the State under this Act; and

(3) the State will discontinue support under this Act after completion of the first two years of a project if the project does not accomplish, or does not give reasonable promise of accomplishing, the results for which Federal assistance was provided.

GRANTS TO INDIAN TRIBES

SEC. 7. From the funds reserved under sections 5(a)(1)(A) and 5(b)(2)(A), the Secretary shall make grants to eligible Indian tribes to improve library services. Any Indian tribe desiring to receive a grant shall submit an application at such time, in such manner, and containing such information, as the Secretary may require.

TITLE I--LIBRARY SERVICES TO DISADVANTAGED AMERICANS

PROGRAM AUTHORITY

SEC. 101. From the funds allotted in accordance with section 5(a) of this Act, the Secretary shall make grants to States to carry out projects or activities that provide new
library services, or expand existing library services, to economically disadvantaged or handicapped individuals in order to enhance their educational opportunities, or to facilitate their greater use of library services.

(b) A State library administrative agency may support projects either directly or through subgrants to, or contracts with, public or private agencies, organizations, or institutions, and Indian tribes. These projects may include joint projects among libraries and other types of institutions, such as schools.

AUTHORIZED ACTIVITIES

SEC. 102. States may use funds allotted under this title to support library projects or activities such as—

1. adult basic education;
2. literacy training;
3. the development of library collections in rural areas;
4. English instruction;
5. information and referral centers;
6. summer reading programs for school children;
7. after-school homework programs;
8. services to persons in correctional institutions;
9. specialized training of library personnel to implement activities related to the purposes of this title;
10. the purchase and distribution of large-print books and other special materials for handicapped individuals;
(11) services to persons in nursing homes or hospitals; and

(12) the acquisition of equipment or minor structural changes that make libraries more usable for handicapped individuals.

**USE OF FUNDS**

**SEC. 103.** (a) A State shall use funds allotted under this title only for the support of new, or the expansion of existing, projects or activities.

(b) A State may not use funds allotted under this title—

(1) to support a new, or expand an existing, project or activity for a period of more than five years;

(2) for acquisition, expansion, or construction of buildings, other than minor remodeling needed to improve access to libraries and library services for handicapped individuals; and

(3) to pay the costs of the State library administrative agency in administering the State's program under this title.

**TITLE II--LIBRARY RESOURCE SHARING**

**PART A--STATE GRANTS**

**PROGRAM AUTHORITY**

**SEC. 201.** (a) From the funds allotted for this part in accordance with section 5(b) of this Act, the Secretary shall
make grants to States to develop new interstate and intrastate library networks and to pay for the expansion of existing networks.

(b) The State library administrative agency may support projects either directly or through subgrants to, or contracts with, public or private organizations, agencies, or institutions, and Indian tribes.

USE OF FUNDS

SEC. 202. (a) A State may not use funds under this part to support a new, or pay for the expansion of an existing, intrastate library network for a period of more than five years.

(b) A State may not use funds under this part to pay the costs of the State library administrative agency in administering the State's program under this part, except that a State may expend up to five percent of its grant for any fiscal year for the planning of interstate library networks.

PART B--DISCRETIONARY AWARDS

PROGRAM AUTHORITY

SEC. 211. From the funds reserved for this part in accordance with section 5(b)(1) of this Act, the Secretary shall, through grants to, or cooperative agreements or contracts with, public or private organizations, agencies, or institutions, and Indian tribes, develop new, or pay for the expansion of existing, interstate library networks.
PART C--GENERAL PROVISIONS

AUTHORIZED ACTIVITIES

SEC. 221. Funds awarded under part A or B of this title may be used for projects or activities such as—

(1) specialized training of library personnel to operate library networks;

(2) acquisition and maintenance of computer hardware, software, and communications lines;

(3) cataloging of materials into electronic data bases;

(4) restoration of rare books, if such preservation is for the purpose of sharing a national resource;

(5) purchase of materials to complete significant collections, if such purchase would create a regional or national resource in a particular subject; and

(6) support of other activities that would lead to the sharing of books, materials, and services among libraries.

TITLE III--LIBRARY RESEARCH AND ASSESSMENT

PROGRAM AUTHORITY

SEC. 301. From the funds appropriated for this title, the Secretary shall, either directly or through grants to, or contracts or cooperative agreements with, public or private organizations, agencies, or institutions, and Indian tribes,
support library research and assessment projects and activities needed to improve library services.

AUTHORIZED ACTIVITIES

SEC. 302. (a) Funds made available under this title shall be used to support--

(1) library research and development, including field-initiated research; and

(2) evaluation of Federal library programs supported under this Act as well as assessment of libraries and library conditions, including the regular collection and reporting of data on the condition of the Nation's libraries and library services. The Secretary shall report to Congress 1 yr. after enactment of this Act and biennially thereafter.

(b) Funds made available under this title may be used for projects or activities such as--

(1) investigation of effective ways to apply new technologies to the provision of library services;

(2) investigation of ways to improve the use of library services by economically disadvantaged or handicapped individuals;

(3) investigation of methods to increase resource sharing and make library services more efficient;

(4) assessment of users' needs; and

(5) assessment of the effectiveness and efficiency of library services.

The Secretary shall make reports of evaluations available on request.
TITLE IV--REPEALS AND EFFECTIVE DATE

REPEALS

SEC. 401. (a) The Library Services and Construction Act (20 U.S.C. 351 et seq.) is repealed.

(b) The Higher Education Act of 1965 (20 U.S.C. 1001 et seq.) is amended--

(1) by repealing title II; and

(2) in section 356(b)(2), by striking out "II, ".

(c) Section 1331 of the Higher Education Amendments of 1986 (20 U.S.C. 1029 note) is repealed.

EFFECTIVE DATE

SEC. 402. This Act shall take effect on October 1, 1989.

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LIBRARY SERVICES IMPROVEMENT ACT OF 1989

Section-by-Section Analysis

Section 2. Section 2 of the bill states that the purpose of the proposed legislation is to improve the contribution of libraries to education through several types of programs. These programs would emphasize the quality of, rather than general access to, library services, since public access to libraries has been successfully broadened under current law. The proposed bill would also focus on specific areas of need for which Federal assistance is most appropriate. Thus, the program proposed in title I of the bill would encourage greater use of library services by economically disadvantaged or handicapped individuals; the title II program would increase access to library materials through resource sharing at the intrastate and interstate levels; and the title III program would support research and assessment needed to improve library services. This section also clarifies that authority and responsibility for administration of libraries would remain at the State and local levels.

Section 3. Section 3 of the bill defines several terms used in the proposed legislation. The proposed definition of the term "handicapped individual" is very similar to the definition of "handicapped children" used in the Education of the Handicapped Act. For purposes of the bill, the term "State" includes the Commonwealth of Puerto Rico and the District of Columbia, as well as the outlying areas (American Samoa, the Commonwealth of the Northern Mariana Islands, Guam, Palau, and the Virgin Islands). However, the outlying areas would not be considered States for the purpose of allotting appropriations under section 5 of the bill, since sections 5(a)(1) and 5(b)(2) of the bill would set aside funds for these areas.

Section 4. Section 4 of the bill would authorize appropriations for fiscal year 1990 of $91 million to carry out programs under title I, $45 million to carry out programs under title II, and $1.2 million to carry out programs under title III. Such sums as may be necessary would be authorized for each of the four succeeding fiscal years.

Section 5. Section 5 of the bill would authorize allotments of appropriations under titles I and II.
Section 5(a)(1) of the bill would require that one percent of the funds appropriated for title I be allotted to Indian tribes. This section would also require that one-half of one percent of the funds appropriated for title I be allotted to American Samoa, the Commonwealth of the Northern Mariana Islands, Guam, Palau (as limited by the Compact of Free Association with that government), and the Virgin Islands, based on their relative need for assistance.

Section 5(a)(2) of the bill would allot the remainder of the appropriation for title I to States based equally on relative population and relative population below the poverty level. This allotment formula reflects the intent of the title I program to serve both economically disadvantaged individuals and handicapped individuals (who have a broader range of income levels). However, each State would receive at least an allotment of one-half of one percent of the title I appropriation remaining after the reservation of one percent for Indian tribes and one-half of one percent for the outlying areas.

Section 5(b) of the bill would require that two-thirds of the funds appropriated for title II be allotted for State programs under part A of that title. One percent of the part A funds would be reserved for Indian tribes, one-half of one percent of the part A funds would be reserved for the outlying areas identified in section 5(a)(1) of the bill, based on relative need for assistance, and the remaining part A funds would be allotted to States based on relative population.

Section 5(c) of the bill would authorize the Secretary to reallocate any unused portion of a State's allotment.

Section 5(d) of the bill would provide that the Secretary would determine relative population and relative population below the poverty level on the basis of the most recent satisfactory data available to the Secretary. In order to determine the most recent satisfactory data, the Secretary would consult with the Department of Commerce and the Bureau of the Census.

Section 6. Section 6 of the bill would provide the general application requirements for States desiring to receive an allotment to carry out title I or title II programs. These requirements are designed to ensure the effective use of funds by requiring the establishment of specific goals and monitoring the achievement of these goals.

Section 6(a) of the bill would provide that the State application would cover a period of up to five fiscal years. The application would describe the goals the State seeks to achieve, expressed in quantifiable terms, such as the additional number of
adults benefitting from literacy courses through local libraries, or the number of rural libraries to be added to an existing intrastate library network. The application would also include a description of the means for achieving these goals and the methods to be used to evaluate the degree to which the goals are being achieved and the program is successful.

Section 6(b) of the bill would also require several assurances that apply to a State application for assistance under title I or title II. The application would have to contain assurances that: (1) the State will inform interested parties of the availability of funds, the State's priority geographic areas, and the procedures for selecting projects; (2) the State library administrative agency will act as administrative and fiscal agent under the program; and (3) the State will discontinue support after two years for unsuccessful projects. The two-year evaluation period would allow sufficient time for a project to become operational and for a State to determine the project's potential for effectiveness.

Section 7. Section 7 of the bill would require that the Secretary award grants to eligible Indian tribes. The Secretary would award these grants from the funds reserved for this purpose under sections 5(a)(1)(A) and 5(b)(2)(A) of the bill. An Indian tribe would also be eligible to apply for Federal funds under other authorities in the bill, either directly to the Secretary under title III or part B of title II, or indirectly as a contractor or subgrantee of a State under title I or part A of title II.

TITLE I--LIBRARY SERVICES TO DISADVANTAGED AMERICANS

Section 101. Section 101(a) of the bill would authorize the Secretary to provide assistance for projects or activities serving economically disadvantaged or handicapped individuals in order to enhance their educational opportunities or to facilitate their greater use of library services. Section 101(b) of the bill would permit the State library administrative agency to support a variety of projects or activities (including those listed in section 102 of the bill) either directly or through subgrants to, or contracts with, public or private agencies, organizations, or institutions, and Indian tribes. In addition, section 101(b) of the bill would authorize the use of funds for joint projects between libraries and other types of institutions, including schools.

Section 102. Section 102 of the bill provides examples of activities that would be authorized under the title.
Section 103. Section 103 of the bill would set forth several limitations on the use of funds allotted under title I. These funds could be used to support only new projects or activities, or the expanded portion of existing projects or activities. Thus, for example, a grantee could use title I funds to establish a new after-school homework program for grades four through twelve. A grantee that had already established an after-school homework program for grades four through eight and wished to expand the program to include grades four through twelve could use title I funds to support the expansion of the program to include grades nine through twelve.

Section 103 of the bill would also prohibit a State from using any of its title I allotment to support a new project or activity, or to expand an existing project or activity, for a period of more than five years. This would give recipients sufficient opportunity to develop the means to continue support for a particularly effective project or activity after Federal support is discontinued. It could also increase the number of projects that could be initiated or expanded through the use of Federal funds.

Further, funds used for construction would be limited only to minor remodeling needed to improve the accessibility of handicapped individuals to libraries and library services, in keeping with the focus of the title I program.

Finally, section 103(b) of the bill would prohibit a State from using any of its title I allotment to pay the administrative costs of the State library administrative agency in administering the title I program at the State level, although, as with local organizations receiving title I funds, the State could use Federal funds to support administrative costs associated with those specific projects it would operate directly. Thus, in a departure from current law, the State would no longer be required to match Federal funds in order to receive assistance, but instead would assume financial responsibility for the general administration of the federally funded program.

TITLE II--LIBRARY RESOURCE SHARING

PART A--STATE GRANTS

Section 201. Section 201 of the bill would authorize the Secretary to make grants to States to develop new interstate and intrastate library networks and to pay for the expansion of existing networks. These projects would increase the availability of library resources without requiring duplication among
libraries. Section 201 of the bill would also permit the State library administrative agency to support such projects either directly or through subgrants to, or contracts with, public or private entities, and Indian tribes.

Section 202. Section 202 of the bill would prohibit a State from using funds to support new, or pay for the expansion of existing, intrastate library networks for more than five years. This provision would encourage the use of Federal funds as seed money rather than as support for ongoing operations. Section 202 of the bill would also prohibit a State from using any of its title II allotment to pay administrative costs of the State library administrative agency. A State would, however, be allowed to spend up to five percent of its grant in any fiscal year for planning new, or expansions of existing, interstate library networks, to provide an additional incentive for expanding such networks.

PART B--DISCRETIONARY AWARDS

Section 211. Section 211 of the bill would authorize the Secretary, through grants to, or cooperative agreements or contracts with, public or private entities, and Indian tribes, to develop new, or to pay for the expansion of existing, interstate library networks. This authority would support projects likely to have regional or national benefits.

PART C--GENERAL PROVISIONS

Section 221. Section 221 of the bill provides examples of the activities that would be authorized under the title.

TITLE III--LIBRARY RESEARCH AND ASSESSMENT

Section 301. Section 301 of the bill would authorize the Secretary to support library research and assessment needed to improve library services, either directly or through grants to, or contracts or cooperative agreements with, public or private entities, and Indian tribes.

Section 302. Section 302 of the bill would require funds made available under this title to be used to support: (1) library research and development, including field-initiated research; and (2) evaluation of Federal library programs supported under the bill, as well as assessment of libraries and
library conditions, including the regular collection and reporting of data on the condition of the Nation's libraries and library services. Also, section 302 of the bill would provide examples of some other activities authorized under the title.

TITLE IV--REPEALS AND EFFECTIVE DATE


Section 402. Section 402 of the bill would provide that the provisions of the "Library Services Improvement Act of 1989" shall take effect on October 1, 1989.

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