

**Determinations With Respect to Transfer of Functions  
Pursuant to Public Law 107-296 Homeland Security Act of 2002**

Pursuant to Sections \_\_\_\_\_ (cite section)\_\_\_ of Public Law 107-296 and effective on \_\_\_\_\_, 2003, there shall be transferred from \_\_\_\_\_ (name Agency/component/bureau) to the Department of Homeland Security (DHS), all of the assets (including funds, property and records), personnel, and liabilities that relate primarily to the following program(s) or function(s) being transferred: \_\_\_\_\_ (name of function/program).

A description of these assets, personnel and liabilities is provided below.

**A: Appropriations and funds (all sources):**

<b>From</b>	<b>Amount</b>	<b>Description</b>	<b>To</b>
List Treasury title and symbol, including fiscal year designation for annual, multi-year, and no-year appropriations and other fund accounts.	List specific amount for unexpended balance and unobligated balance for each account symbol	Brief description	Listing of accounts to be transferred. The receiving accounts will be listed by new Treasury symbol, title, and fiscal year availability as are the transferring accounts.

**B: Personnel and positions:**

Using the format in the example at B-1, provide a listing of all assigned personnel (military and civilian) and vacant positions. For each position, include: service type (e.g., competitive, excepted, Senior Executive Service, Schedule C; pay plan, series and grade; position title; duty station; employee name; SSN; salary; fund code; payroll office number; and personnel office indicator (POI). The list should reflect the employee's official position of record on the date of transfer (i.e., the permanent position to which the employee is assigned, not a position to which detailed or temporarily promoted). If the employee is on detail or temporary promotion, annotate the list accordingly. For military or uniformed personnel, include branch of service, status (e.g., active or reserve), rating or occupational specialty, and rank.

**B-1, Personnel Annex-- (Example)**

<u>Organization</u>	<u>Serv. Type</u>	<u>PP-SERS-GR</u>	<u>Salary</u>	<u>Position</u>	<u>Duty Station</u>	<u>Name</u>	<u>SSN</u>	<u>Fund-Pgm</u>	<u>Payroll Office</u>	<u>POI</u>
<b>Admin &amp; Resource Planning</b>										
Office of the Assistant Director										
	SES/NC	ES-0340-00	\$138,200.00PA	Asst Dir, Admin & Res Planning Dir	Washington, DC	xxxxxxxxxxxxxxxx	xxxxxxxxxx	09-0300RA	12 40 0058	4249
	Competitive	GS-0301-12	\$44,805.00PA	Secretary (OA)	Washington, DC	xxxxxxxxxxxxxxxx	xxxxxxxxxx	06-4930TR	12 40 0058	4249
	Competitive	GS-0301-11	\$52,663.00PA	Protective Services Specialist	Washington, DC	xxxxxxxxxxxxxxxx	xxxxxxxxxx	09-0300RA	12 40 0058	4249
	Competitive	GS-0343-11	\$54,212.00PA	Program Analyst	Washington, DC	xxxxxxxxxxxxxxxx	xxxxxxxxxx	09-0300RA	12 40 0058	4249
	Schedule C	GS-0301-15	\$92,060.00PA	Executive Officer	Washington, DC	xxxxxxxxxxxxxxxx	xxxxxxxxxx	09-0300RA	12 40 0058	4249
	Schedule C	GS-0301-12	\$55,694.00PA	Staff Asst to the Asst Dir, ARP	Washington, DC	xxxxxxxxxxxxxxxx	xxxxxxxxxx	09-0300RA	12 40 0058	4249
Human Resources Division										
	SES/NC	ES-0201-00	\$125,972.00PA	Director, Human Resources Division	Washington, DC	xxxxxxxxxxxxxxxx	xxxxxxxxxx	09-0320RA	12 40 0058	4249
	Competitive	GS-0201-15	\$116,613.00PA	Deputy Director	Washington, DC	xxxxxxxxxxxxxxxx	xxxxxxxxxx	09-0320RA	12 40 0058	4293
	Competitive	GS-0201-14	\$101,742.00PA	Human Resources Specialist	Washington, DC	xxxxxxxxxxxxxxxx	xxxxxxxxxx	09-0320RA	12 40 0058	4293
	Competitive	GS-0343-12	\$66,831.00PA	Program Analyst	Washington, DC	xxxxxxxxxxxxxxxx	xxxxxxxxxx	09-0320RA	12 40 0058	4249
	Competitive	GS-0203-08	\$45,206.00PA	Human Resources Assistant	Washington, DC	xxxxxxxxxxxxxxxx	xxxxxxxxxx	09-0320RA	12 40 0058	4293
	Excp-Staff Act	GS-0301-11	\$49,566.00PA	CORE-Administrative Specialist	Round Hill, VA	xxxxxxxxxxxxxxxx	xxxxxxxxxx	06-4470AD	12 40 0058	4299
	Schedule C	GS-0301-14	\$93,916.00PA	Spec Asst to the Dir, Human Resources	Washington, DC	Vacant		09-0320RA	12 40 0058	4249
	Competitive	EF-0301-15	\$107,357.00PA	Consultant	Washington, DC	xxxxxxxxxxxxxxxx	xxxxxxxxxx	09-0320RA	12 40 0058	4249
Advisory Services Branch										
	Competitive	GS-0233-14	\$101,742.00PA	Labor Relations Specialist	Washington, DC	xxxxxxxxxxxxxxxx	xxxxxxxxxx	09-0320RA	12 40 0058	4293
	Competitive	GS-0201-14	\$88,699.00PA	Supv Human Resources Specialist	Emmitsburg, MD	xxxxxxxxxxxxxxxx	xxxxxxxxxx	09-0320RA	12 40 0058	4293
	Competitive	GS-0201-14	\$80,873.00PA	Human Resources Specialist	Washington, DC	xxxxxxxxxxxxxxxx	xxxxxxxxxx	09-0320RA	12 40 0058	4293
	Competitive	GS-0201-13	\$66,229.00PA	Human Resources Specialist	Emmitsburg, MD	xxxxxxxxxxxxxxxx	xxxxxxxxxx	09-0320RA	12 40 0058	4293
	Competitive	GS-0230-13	\$66,229.00PA	Employee Relations Specialist	Washington, DC	Vacant		09-0320RA	12 40 0058	4293
	Competitive	GS-0201-13	\$77,266.00PA	Human Resources Specialist	Emmitsburg, MD	xxxxxxxxxxxxxxxx	xxxxxxxxxx	09-0320RA	12 40 0058	4293
	Competitive	GS-0230-13	\$66,229.00PA	Employee Relations Specialist	Washington, DC	xxxxxxxxxxxxxxxx	xxxxxxxxxx	09-0320RA	12 40 0058	4293
	Competitive	GS-0201-13	\$75,058.00PA	Human Resources Specialist	Round Hill, VA	xxxxxxxxxxxxxxxx	xxxxxxxxxx	27-3600	12 40 0058	4293
	Competitive	GS-0230-13	\$86,095.00PA	Employee Relations Specialist	Washington, DC	xxxxxxxxxxxxxxxx	xxxxxxxxxx	09-0320RA	12 40 0058	4293
	Competitive	GS-0230-11	\$49,566.00PA	Employee Relations Specialist	Washington, DC	xxxxxxxxxxxxxxxx	xxxxxxxxxx	09-0320RA	12 40 0058	4293
Operations Branch										
	Competitive	GS-0201-15	\$101,267.00PA	Supv Human Resources Specialist	Washington, DC	xxxxxxxxxxxxxxxx	xxxxxxxxxx	09-0320RA	12 40 0058	4293
	Competitive	GS-0201-14	\$101,742.00PA	Supv Human Resources Specialist	Round Hill, VA	xxxxxxxxxxxxxxxx	xxxxxxxxxx	09-0320RA	12 40 0058	4293
	Competitive	GS-0201-13	\$70,644.00PA	Human Resources Specialist	Emmitsburg, MD	xxxxxxxxxxxxxxxx	xxxxxxxxxx	09-0320RA	12 40 0058	4293
	Competitive	GS-0201-13	\$77,266.00PA	Human Resources Specialist	Washington, DC	xxxxxxxxxxxxxxxx	xxxxxxxxxx	09-0320RA	12 40 0058	4293

## C: Property

**Property includes all tangible and intangible items that are not classified as appropriation accounts or human resources. These items should be documented in the official records requested in Section D. The summary information requested may be submitted in electronic format. When the departmental database is established, detailed information will be forwarded in the format to be specified.**

**Note: Classified information should be forwarded separately in a manner consistent with relevant procedures.**

### c-1: Real and Personal Property

#### Data Required:

- Real Property – For each Land Parcel
  - Location (City, State)
  - Acreage
  - Acquisition status (agency owned, agency leased, leased through GSA)
  - For leased parcel – duration remaining on lease
  - Identify parcels owned by the Federal Government but operated by contractor
  
- Real Property – For each Building or Other Structure
  - Location (City, State)
  - Square Footage
  - Approximate % occupied
  - Status (agency owned, agency leased, leased through GSA)
  - For leased buildings – duration remaining on lease
  - For other structures – description of structure/usage
  - Identify buildings owned by the Federal Government but operated by contractor
  
- Accountable Personal Property – For each category
  - Name of category
  - Description of category
  - Acquisition status (owned, leased, seized, forfeited)
  - # of units
  - Acquisition cost
  - Identify property owned by the Federal Government but provided to contractor

## **c-2: Contracts, Licenses, and Grants**

Data required:

- Contracts – for each contract in force
  - Contract Number
  - Vendor
  - Duration remaining (including option years)
  - Amount of award
  
- Licenses – or each valid license
  - License Number
  - License Holder
  - Duration remaining
  
- Grants – for each grant in force
  - Grant Number
  - Grantee
  - Duration remaining
  - Amount of award
  
- Undelivered orders or unliquidated obligations
  - Delivery order or obligation number
  - Purpose
  - Issue date
  - Amount

**c-3: Asset and Liability Balances**

Provide the total book value and date of valuation for the categories specified. For categories where there is no value, enter “zero” for book value and the current response date for date of valuation.

<b>Category</b>	<b>Total Book Value</b>	<b>Date of Valuation</b>
Accounts Receivable		
Investments with BPD		
Investments with Public		
Loans		
Inventory		
Operating Materials and Supplies		
Stockpile Materials		
Seized Property		
Forfeited Property		
Accounts Payable		
Borrowings from FFB or BPD		
Borrowings from Public		
Interest Payable		
Accrued payroll and employer benefits due and payable		
Accrued benefits due and payable to program recipients		
Capital Leases		
Other Liabilities		

**D: Records (the order needs to be very specific as to what records need to be transferred):**

Describe general and agency specific classes of all **active records** to be transferred to DHS. List the records item number, a description of the records, their location, the method of storage and the volume. An electronic copy of the Records Schedule may be submitted.

Describe general and agency specific classes of all **inactive records** to be transferred to the National Archives and Records Administration (NARA) for preservation pending determination of ultimate disposition. List the records item number, a description of the records, their location, the method of storage, and the volume.

Please provide a brief description of your procedures on the process you use to store your records.

Please refer to 44 USC 3301 or CFR part 1222.12 for the definition of a record, or the NARA website, [www.NARA.gov](http://www.NARA.gov).

Example:

<b>Description</b>	<b>Estimated Volume (cubic feet)</b>	<b>Location</b>	<b>Method of Storage</b>
Videotapes	8	Clarksburg, WVA	Electronic
Radiological Emergency files	182	Jessup, MD	Paper

Classes of Records are a provided at D-1

## **D1 -- General Records Schedules**

- GRS 1 – Civilian Personnel Records
- GRS 2 – Payrolling and Pay Administration Records
- GRS 3 – Procurement, Supply and Grant Records
- GRS 4 – Property Disposal Records
- GRS 5 – Budget Preparation, Presentation, and Appointment Records
- GRS 6 – Accountable Officers' Accounts Records
- GRS 7 – Expenditure Accounting Records
- GRS 8 – Stores, Plant and Cost Accounting Records
- GRS 9 – Travel and Transportation Records
- GRS 10 – Motor Vehicle Maintenance and Operation
- GRS 11 – Space and Maintenance Records
- GRS 12 – Communications Records
- GRS 13 – Printing, Binding, Duplication, and Distribution Records
- GRS 14 – Informational Services Records
- GRS 15 – Housing Records
- GRS 16 – Administrative Management Records
- GRS 17 – Cartographic, Aerial Photographic, Architectural, and Engineering Records
- GRS 18 – Security and Protective Services Records
- GRS 19 – RESERVED
- GRS 20 – Electronic Records (note: Not included in Transmittal 8 Dec. 1998)
- GRS 21 – Audiovisual Records
- GRS 22 – Inspector General Records – WITHDRAWN
- GRS 23 – Records Common to Most Offices Within Agencies
- Others (Specify)