

Electronic Official Personnel Folder

Personnel Records Forms Management – Foundation Of eOPF Forms Management for Adjudication

Core authority: 44 USC 3101 and 5 CFR 293

System Of Record Notice (SORN) OPM/GOVT-1, 77 FR 73694 (12/11/2012), 87 FR 5874 (2/2/2022), 88 FR 56058 (8/17/2023)

Primary reference for recordkeeping and forms management: Ch 3 OPM Guide to Personnel Recordkeeping

Secondary reference for recordkeeping policy and forms management: National Archives and Records Administration (NARA) General Record Schedule 2.0 (GRS 2.1 to GRS 2.8)

Non-title 5 agencies or Title 5 agencies that create personnel records for employment systems that are outside OPM Recordkeeping Authority (ref Ch 2 OPM GPR) will need to provide copies of their current SORN and Records Schedule. Some of these have SORN and Records Schedule that clearly identify that they will use OPM GPR and/or NARA GRS for their personnel records management policies and standards. The records and forms management standards in OPM GPR will apply to these agencies. If, however, an agency/employment system outside of OPM recordkeeping authority SORN does not clearly state that the agency personnel records will follow OPM GPR, then that agency will need to manage the personnel records and forms in accordance with the agency-specific SORN and agency-specific Records Schedule.

Examples of employment systems outside of OPM recordkeeping authority are non-title 5 agencies (example: Non-Appropriated Fund Instrumentality and Intel Community) and non-title 5 employment within a title 5 agency (Example: Department of Veterans Affairs title 38 employment within the Department of Veterans Affairs). Reference Ch 2, Ch 5, and Ch 7 OPM Guide to Personnel Recordkeeping for additional information regarding shared/merged folders.

GENERAL PROHIBITED DOCUMENTS:

- Medical records and Health Insurance Portability and Accountability Act (HIPAA) protected documents are not authorized for the OPM eOPF system. This includes memos/letters/statements from physicians/doctors/institutions/agencies verifying an applicant/employee is eligible for Schedule A Person with Disability employment.
- General documentation of personnel management operations is not authorized for filing in the OPM eOPF system. Examples include but are not limited to: Mobility agreements, training/education development plans, professional development programs, return rights/obligated positions, and the like.

- Travel-related, Government-paid relocation, payroll records, financial records, recruitment incentive request packages/authorizations, are not authorized for the OPM eOPF system.
- Documents/forms that other guidance requires to be filed in separate filing systems are not authorized for the OPM eOPF System. The only exception to this standard is when a form/document is specifically annotated as authorized as permanent or temporary retention in Ch 3 OPM GPR.

Records pertaining to a different person who is not the subject of the eOPF are not authorized for the OPM eOPF system. Example: Personnel actions or Military orders for a spouse/family member who is not the subject of the folder. The only exception to this standard is when a form/document is specifically annotated as authorized as an attachment to a different core form as described in Ch 3 OPM GPR. Forms review process for Adjudication

Question 1: Is the form for an employment system that is outside of OPM recordkeeping authority (ref Ch 2 OPM GPR)?

Yes – The requesting agency or the agency that owns the record must provide a copy of the SORN and Records Schedule for the employment system the personnel record/folder was created under. Confer with the agency that owns the record for the form disposition in the SORN and Records Schedule (Permanent or Temporary in the agency SORN and Record Schedule).

1. If an agency-specific Record Schedule identifies the form or the purpose of the form as permanent, review the Master Forms List (MFL) for a DG form that has a matching purpose of the form. If the MFL does not have a DG form that is related to the purpose of the subject form then adjudicate the subject form for a permanent folder, cite the agency SORN and Record Schedule, and proceed with establishing the form number in the eOPF system and Master Forms List.
2. If the agency-specific Record Schedule identifies the form or the purpose of the form as Temporary, then the agency and PMO must determine if the form is to be indexed to the Temporary folder or Performance Folder. Adjudicate the form for the eOPF as Temporary or Performance folder, cite the agency SORN and Record schedule, and proceed with establishing the form number in the eOPF system and Master Forms List.
3. If the agency-specific Record Schedule does identify the form or the purpose of the form but the disposition is for a different filing system, then the form must be returned to the agency with adjudicated decline as not authorized for the eOPF system. Adjudication process ends.
4. If the agency-specific Record Schedule does not identify the form or the purpose of the form, then the form must be adjudicated as not authorized for the eOPF system.

No – Advance to the next item.

Question 2: If the form is subject to OPM Recordkeeping authority, is the form identified as an attachment to another form number or DG form? Ref Ch 3 OPM GPR and/or OPM eOPF MFL Attachments instructions tab.

Yes – The form will be returned to the agency as adjudication declined with advisory of indexing instructions (attach to a form that is already adjudicated and built into the eOPF system), provide the applicable reference material(s). Adjudication process ends.

No – Advance to the next item.

Question 3: If the form is subject to OPM Recordkeeping authority, is the form listed by form number/form name as Permanent or Temporary in Ch 3 OPM GPR?

Yes – Review the Master Forms List for indexing or attachment instructions, confirm the form number is established in the eOPF system.

1. If the form is listed in the MFL and is present in the eOPF system, return the form to the agency as adjudication declined with indexing instructions and provide applicable reference material(s). Adjudication process ends.
2. If the form is not listed in the MFL and/or not present in the eOPF system, determine if the form is Permanent or Temporary. If the GPR identifies the form as “Temporary” confer with the agency if the form is to be indexed to the Temporary or Performance folder. Adjudicate the form as Permanent/Temporary as applicable, process the update of the eOPF system to add the form if not already present, and process the update to MFL to add the document if not already present.

No – Advance to the next item.

Question 4: If the form is subject to OPM Recordkeeping authority, is the purpose of the form covered by a DG form in Ch 3 OPM GPR?

Yes – Return the form to the agency as adjudication declined, provide indexing instructions, and applicable reference material(s).

No – Advance to the next item.

Question 5: If the form is subject to OPM Recordkeeping authority, is the form or the purpose of the form listed or described in NARA/GRS 2.0 (2.1 to 2.8)?

Yes –

1. If the GRS describes the disposition of the form as file in OPF long-term retention, then adjudicate the form for the permanent folder, cite the applicable reference materials, and update the MFL and eOPF system accordingly.
2. If the GRS describes the disposition of the form for a different filing system, return the form to the agency with adjudication declined and provide applicable reference(s).
3. If the GRS describes the disposition of the form as limited or short-term retention,
 - a. Cross-check the form with prohibited documents, Ch 3 OPM GPR. If the form or the purpose of the form is within the nature of the prohibited documents the form adjudication request will be declined as not authorized for the eOPF system. Cite applicable reference material(s). Adjudication Ends.
 - b. Cross-check the form with prohibited documents, Ch 3 OPM GPR. If the form or the purpose of the form is not within the nature of prohibited documents advise the agency of the option to adjudicate the form for the Temporary or Performance folder. Also, we advise that the agency should consider filing the form in the Supervisor's Personnel Folder or retaining the document in the Entry on Duty (EOD) system as a more cost-effective option. The form may be adjudicated for the Temporary or Performance folder as determined by official guidance/policy. These types of forms/documents are agency-specific documents that are not authorized for transfer.

No – Advance to the next item.

Question 6: If the form is subject to OPM Recordkeeping authority, is the form or the purpose of the form described in any NARA/GRS other than GRS 2.0 or SORN other than GOVT-1?

Yes – Return the form to the agency with adjudication declined. Cite the applicable reference material(s).

No – Advance to the next item.

Question 7: If the form is subject to OPM Recordkeeping authority, does the form have instructions page or filing instructions in the form? (NOTE: this applies only to OPM owned forms such as Standard Forms, Retirement and Insurance Form, and the like. This consideration does not apply to any forms created by the agencies.)

Yes –

1. If the form filing instructions state the completed form is to be filed in the eOPF as Permanent, then proceed with adjudication as permanent and update the eOPF system and MLF accordingly. Cite reference material(s) used for adjudication. This type of form is authorized for transfer.
2. If the form filing instructions state the completed form is to be filed in the eOPF as Temporary, then proceed with adjudication as temporary and update the eOPF system and MFL accordingly. This type of form is not authorized for transfer.
3. If the form filing instructions state the completed form is to be attached to another different document/form, then return the form to the agency with adjudication declined. Advise the agency that they may attach the form to the different form/document described in the subject form.
4. If the form filing instructions state the completed form is to be
 - filed in a different filing system,
 - filed with a different office within OPM Program Office or
 - filed with an office outside of OPM, then return the form to the agency with adjudication declined.

The form/record is not authorized by the OPF. Advise the agency they may file the form with a different filing system.

No – Return the form to the agency with adjudication declined. The form/record is not authorized by the OPF. Advise the agency they may file the form in a different filing system.