

Electronic Official Personnel Folder

Recommended Agency Level Form Adjudication Procedures

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: Chapter 3 OPM Guide to Personnel Recordkeeping (OPM GPR)

Secondary reference for recordkeeping policy and forms management: National Archive 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 Chapter 2 OPM GPR) will need to utilize their current Systems of Records Notices (SORN) and Records Schedule. Some of these SORN and Records Schedules clearly identify that they will use OPM GPR and/or NARA GRS for their personnel records. 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.

GENERAL PROHIBITED DOCUMENTS:

- Medical records and documents protected under the Health Insurance Portability and Accountability Act (HIPAA) are not authorized for inclusion in the OPM eOPF system. This includes any correspondence from a physician, medical provider, institution, or agency verifying that an applicant or employee qualifies for Schedule A Person with Disability employment.
- Documentation related to general personnel management operations is not authorized for inclusion in the OPM eOPF system. Examples include, but are not limited to, mobility agreements, training and education development plans, professional development program materials, return rights or obligated position records, and other similar documentation.
- Records related to travel, government-paid relocation, payroll, finances, or recruitment incentive requests (including associated documentation, packages, and authorizations) are not authorized for inclusion in the OPM eOPF system.
- Forms/documents that other guidance require the materials 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 Chapter 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 or 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 Chapter 3 OPM GPR such as the Standard Form SF-15.

ADVISORY to agencies: In accordance with 5 CFR 293.103, OPM has the authority to establish minimum standards for personnel records the agencies are required to maintain. These standards are discussed in appropriate chapters of the OPM Guide to Personnel Recordkeeping.

Use the questions listed below as an internal checklist before submitting a Forms Adjudication request to confirm that it satisfies all requirements for acceptance by OPM.

Forms review process for Adjudication

Question 1: Is the form/document for an employment system that is outside of OPM recordkeeping authority (ref OPM GPR for Jointly Owned i.e. Merged and/or Foreign Service folders)?

Yes — Only the agency that “owns” record should conduct forms adjudication for any non-title 5 agency personnel records. The agency that owns the record must provide a copy of the SORN and Records Schedule for the employment system the personnel record or folder was created under.

1. If agency specific Record Schedule identifies the form or the purpose of the form as permanent in the Official Personnel Folder or agency equivalent, review the Master Forms List (MFL) for a Digital Government (DG) Form that has matching purpose of the form or matching specific form number. If the MFL does not have a DG Form that is related to the purpose of the subject form or matching form number, then agency should submit a forms adjudication request to add the form number to the MFL as a permanent folder index setting. Agency must provide a copy of the SORN and Record Schedule in the form adjudication request.
2. If the agency specific SORN/Record Schedule identifies the form or the purpose of the form as “Temporary”, review the MFL for a DG Form that has matching purpose of the form or matching specific form number with index setting for the Performance or Temporary folder. If the MFL does not have a DG Form that is related to the purpose of the subject form or matching form number, then agency should submit a forms adjudication request to add the form number to the MFL as a “Temporary or Performance” folder index setting. Agency must provide a copy of the agency SORN and Record Schedule, in the form adjudication request along with a blank or redacted copy of the source form.
3. If the agency specific SORN/Record Schedule does identify the form or the purpose of the form but the disposition is for a different filing system, then the form is not authorized for the OPF.

No — Advance to next item

Question 2: If the record is subject to OPM Recordkeeping authority, has the agency reviewed Chapter 3 OPM Guide to Personnel Recordkeeping (GPR) to determine if:

- The form number is clearly authorized as a permanent record.
- The form number is clearly authorized as a temporary record.
- The purpose of the form is to be clearly authorized as a DG Form number.
- The form or the purpose of the form is clearly authorized as an attachment to another core form/record.

Yes — The agency has determined that the form, or its purpose, is listed in Chapter 3 of the OPM GPR as authorized for the OPF/eOPF when attached to another form/document, a temporary record, or a permanent record. **Advance to item 3.**

No — The agency should review Chapter 3 of the OPM GPR to determine whether the form, or its purpose, is authorized for inclusion in the OPF/eOPF as an attachment, a temporary record, or a permanent record. If authorization is confirmed, the agency may proceed to item 3. If the form or its purpose is not clearly identified as authorized in Chapter 3, the agency should **skip to item 5.**

Question 3: Does the Master Forms List (MFL) reflect that the form or the purpose of the form should be indexed as a DG Form or as an attachment to another form/record? Ref Chapter 3 OPM GPR and OPM eOPF MFL Attachments tab and DG instructions tab.

Yes — Agency will follow indexing instructions as described in the MFL, cross reference MFL DG tab and/or MFL Attachments tab. No request for adjudication will be submitted to OPM eOPF PMO. This will end adjudication procedures.

No — Advance to next item, 4.

Question 4: If the record is subject to OPM recordkeeping authority, and Chapter 3 of the OPM GPR reflects that the form is authorized as a standalone **permanent record** or **temporary record** in the OPF/eOPF, does the OPM MFL list the form number as a standalone form/record number?

Yes — The agency will follow the indexing instructions. No request for adjudication will be submitted to the OPM eOPF PMO. This concludes with adjudication procedures.

No — If Chapter 3 of the OPM GPR reflects that the form/record is authorized for the eOPF as a standalone form (i.e., the form is authorized for the eOPF and is not attached to a different form and/or does not have a matching DG Form number), and the MFL does not list the form number, then the agency should prepare and submit a form adjudication request with appropriate reference citations and supporting materials.

Advisory: Only the agency eOPF Point of Contact (POC) may submit the completed form adjudication request package. Incomplete packages, or packages submitted by agency offices other than the appointed eOPF POC, may be returned without action.

Question 5: Does the form's instructions clearly state that a copy of the completed form is to be filed in the OPF, and there are no conflicting instructions in Chapter 3 of the OPM GPR (i.e., the form or its purpose is not prohibited for the OPF, and there are no instructions to attach the completed document to a different core form or index it as a DG Form number)? (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 — If the OPM owned form's instructions clearly state that a copy of the completed form is to be filed in the OPF, and there are no conflicting instructions in Chapter 3 of the OPM GPR (i.e., the form or its purpose is not prohibited for the OPF, and there are no instructions to attach the completed document to a different core form or index it as a DG Form number), then:

1. The agency HR Headquarters should consult with the agency records office to determine whether the form should be filed in the Permanent folder, Temporary folder, or Performance folder in the eOPF system.
2. The agency HR and records office should reference:
 - SORN OPM GOVT-1
 - Chapter 3 of the OPM GPR
 - NARA/GRS 2.1 to 2.8
 - Applicable chapters in the GPPA (if applicable)
3. After determining the correct folder disposition, the agency should prepare and submit a form adjudication request with appropriate reference citations and supporting materials.

Advisory: Only the agency eOPF POC may submit the completed form adjudication request package(s). Incomplete packages, or packages submitted by agency offices other than the appointed eOPF POC, may be returned without action.

No — If the form does not have filing instructions, or the form’s instructions do not clearly state to file a copy of the completed form in the OPF but instead provide different filing or form management instructions, then:

- The form is not authorized for the OPF/eOPF.
- The agency will follow the filing or form management instructions provided on the form.
- No request for adjudication will be submitted to the OPM eOPF PMO.
- The adjudication process ends.

Question 6: What should agencies do with human resources/personnel management-related documents if the record is subject to OPM recordkeeping authority, and Chapter 3 of the OPM GPR does not clearly identify the form/document or its purpose as authorized for the OPF/eOPF; and the form’s instructions do not clearly state that a copy of the completed form should be filed in the OPF?

Answer: The agency HR office and agency records office should consult the appropriate SORNs, NARA/GRS 2.1 to 2.8, or other applicable NARA GRS for filing system instructions. No request for adjudication will be submitted to the OPM eOPF PMO. The adjudication process ends.