



CENTRALIZED ACCOUNTING & PAYROLL/PERSONNEL SYSTEM

CAPPS Desk Aid

Performance Documents Approval Routing

Note: This Desk Aid was written to the specifications of CAPPS Central agency modules and may not reflect the unique process variations implemented by individual or non-Central agencies.

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Performance Documents Approval Routing

Overview

This desk aid provides general guidance for maintaining employee’s performance documents as it relates to the performance document approval workflow.

The performance document must be in the **Pending Approval** status with the approval status of **Submitted**. Additionally, the employee’s *Reports To Position* structure contained a recent change, prior to the employee’s first-level manager submitting the document for approval.

Workflow

Identifying Approval Workflow Issues

At the time a manager submits the document for approval, the system identifies the document and sends a pending approval notification to the appropriate next level manager, based on the employee’s *Reports To Position*.

In some situations, there may have been a recent *Reports To Position* change within the agency’s organizational structure. As a result, the document’s approval workflow may fail to route correctly and the system reroutes the approval request to the CAPPS Performance Management system administrator role (i.e., multiple approvers).

If the document’s approval request reroutes to multiple approvers, review the employee’s job data and confirm any recent *Reports To Position* changes that may include a reason code of **T38**.

If the *Reports To Position* contains a T38 row, the manager needs to wait for the nightly CAPPS processes to run before proceeding.

Confirming Pending Approval Requests

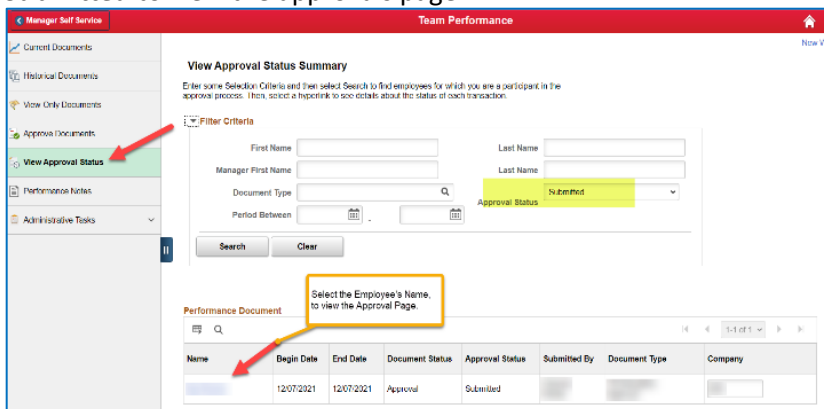
Both the manager and an agency administrator can search and view a performance document’s approval workflow routing by navigating to the *View Approval Status* page. The steps are the similar, however the navigations are different for each role or user.

For demonstration purposes, this example for the manager displays the approval request routing correctly (as expected) and the agency administrator’s steps display the incorrect routing process.

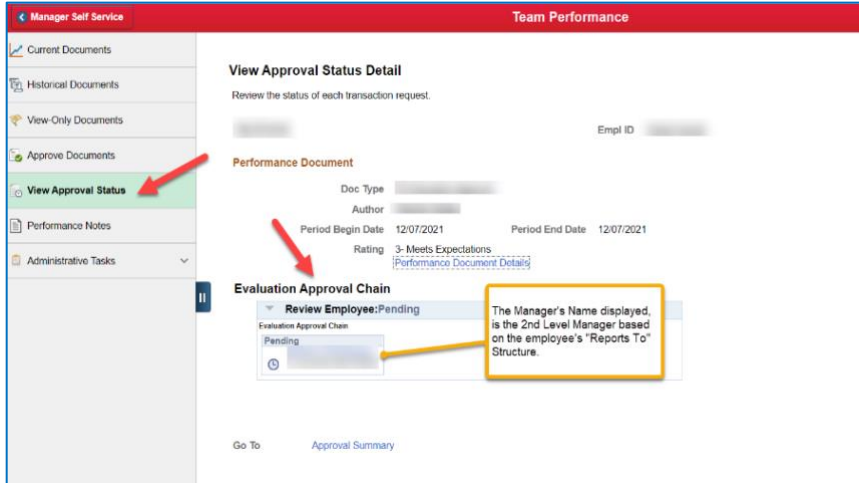
Manager Actions

Navigation Dashboard: Manager Self-Service, Performance Management, View Approval Status

1. Select the employee’s name from **Performance Document** with an APPROVAL STATUS of **Submitted** to view the approvals page.



2. Confirm the approval request was routed to the correct 2nd level manager. The **Evaluation Approval Chain** section displays the approving manager’s name that received the approval request notification.



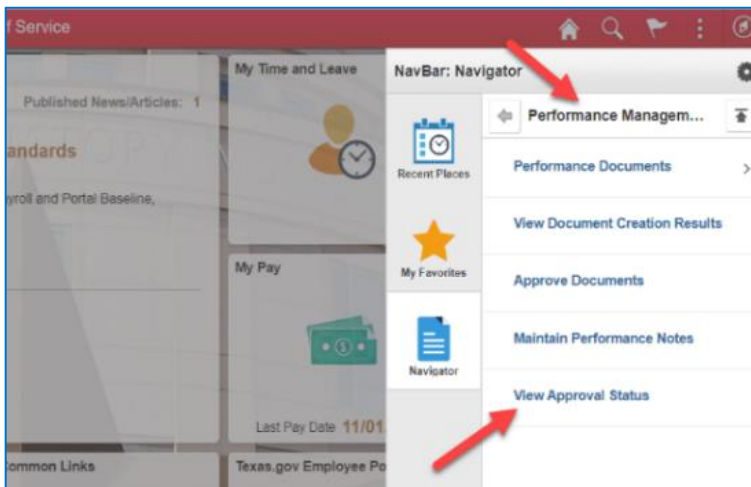
Note: There should be only one manager listed as the approver.

3. Verify the **View Approval Status Details** page — if it contains *Multiple Approvers* under the **Evaluation Approval Chain**, the approval request was routed to the CAPPS Support staff, system administrator role.
4. Coordinate with the agency’s HR staff for required steps for correcting the issue.

Agency Administrator Actions

Navigation

NavBar: Workforce Development, Performance Management, View Approval Status



1. Set the APPROVAL STATUS to **Submitted** from the filter criteria drop-down menu.

View Approval Status Summary
 Enter some Selection Criteria and then select Search to find employees for which you are a participant in the approval process. Then, select a hyperlink to see details about the status of each transaction.

Filter Criteria

First Name Last Name
 Manager First Name Last Name
 Document Type Approval Status **Submitted**
 Period Between -

Performance Document

Name	Begin Date	End Date	Document Status	Approval Status	Submitted By	Document Type	Company
	09/01/2018	08/31/2019	Approval	Submitted			

2. Choose the employee's name document that has APPROVAL STATUS of **Submitted**.
3. Review the **Evaluation Approval Chain** for errors.
 For example, the approval request may be routed incorrectly to the CAPPS Support staff (system administrator role) due to an error in the employee's *Reports To Position* structure. In this case, the **Evaluation Approval Chain's** PENDING field indicates *Multiple Approvers* and displays **Error Step**.

Approve Document
 Approve or deny the proposed information for the employee listed here. You may also enter optional comments about each approval choice. When you are finished, select the Approve or Deny button on the page.

Empl ID

Performance Document

Doc Type
 Author
 Period Begin Date 09/01/2022 Period End Date 08/31/2023
 Rating 3- Meets Expectations
 Performance Document Details

Evaluation Approval Chain

Review Employee: Pending

Evaluation Approval Chain

Skipped Pending
 TX_EvaluationApprovingMgr → Multiple Approvers Error Step

Comments

Comment History

TX Control M Processing at 09/06/23 - 7:07 PM
 at 09/06/23 - 11:56 AM

4. Correct errors — the agency administrator must coordinate with the manager on required steps for correcting the issue.

Resolving Issues (Agency Administrators)

When the document's approval request routes to the multiple approvers, the system immediately sends a notification to the CAPPS support staff, system administrators.

The CAPPS system administrators opens an **Customer Service Desk (CSD)** ticket on the agency's behalf and assists (as needed) to resolve issues.

Navigation

NavBar: Workforce Development, Performance Management, Performance Documents, Administrative Tasks, Reopen Documents

1. Re-open the employee's document that contains incorrect routing on the approval request.

Note: Re-opening the document triggers an email message to the employee and original 1st level manager on record of the document. The email message routes to the email address listed in CAPPS as of the re-open date.

2. Verify the **JOB DATA** and **POSITION MANAGEMENT** to ensure the employee and the manager's **REPORTS TO POSITIONS** are correct. This value is based on the Date/Time stamp of when the document was submitted for approval (i.e., when the 1st level manager signed).
3. Identify which manager contains the **T38 JOB DATA** row.
4. Confirm the employee and managers have a **REPORTS TO POSITION** assigned. The **REPORTS TO POSITION** cannot be blank or have the employee reporting to their own position.
5. If the error is related to a timing issue, recheck on the next business day.

Note: Under normal situations, this is a timing related issue. Where the 2nd or 3rd level manager had a position change, and the 1st level manager submits the document for approval before the CAPPS HR processes have successfully run to re-align the *Reports To Position* structure.

6. Coordinate with the 1st level manager to complete necessary steps to submit the document for approval.
7. Confirm the document routed to the correct 2nd level manager.

Revision History

Date	Description of Change	Changed By
March 12, 2024	Initial draft.	S. Keltgen
Dec. 11, 2025	Converted to the template with the new CAPPS branding logo/colors.	N/A