



STATE OF WASHINGTON
DEPARTMENT OF CORRECTIONS

APPLICABILITY
PRISON/WORK RELEASE/FIELD
OFFENDER/SPANISH MANUALS

REVISION DATE
3/31/21

PAGE NUMBER
1 of 6

NUMBER
DOC 550.100

POLICY

TITLE
RESOLUTION PROGRAM

REVIEW/REVISION HISTORY:

Effective: 3/10/83 DOC 700.100	Revised: 9/22/06 AB 06-010
Revised: 9/1/85	Revised: 3/15/07
Revised: 4/15/89 DOC 550.100	Revised: 3/4/09
Revised: 12/15/89	Revised: 3/1/12
Revised: 12/15/93	Revised: 3/18/13
Revised: 10/28/99	Revised: 1/3/18
Revised: 3/1/05	Revised: 3/31/21

SUMMARY OF REVISION/REVIEW:

Major changes to include title. Read carefully!


APPROVED:

Signature on file

STEPHEN SINCLAIR, Secretary
Department of Corrections

3/3/21

Date Signed

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REFERENCES:


DOC 100.100 is hereby incorporated into this policy; [RCW 9A.44.160](#); [RCW 42.56](#); [WAC 137-08](#); [WAC 137-25-030](#); DOC 310.000 Orientation for Offenders; DOC 460.050 Disciplinary Sanctions; DOC 460.135 Disciplinary Procedures for Work Release; DOC 490.850 Prison Rape Elimination Act (PREA) Response; DOC 690.400 Individuals with Disabilities; [Resolution Program Handout](#); [Resolution Program Manual](#); [Records Retention Schedule](#)

POLICY:

- I. The Department has established a Resolution Program to address conflict through the administrative resolution of complaints to reduce tension and provide a stable correctional environment. The resolution process will provide efficient and timely resolution at the lowest level for concerns submitted by individuals under the Department's jurisdiction.
- II. Resolution requests alleging sexual misconduct will be forwarded immediately to the applicable authority per DOC 490.850 Prison Rape Elimination Act (PREA) Response and will not be reviewed through the resolution process.
- III. Disability accommodation requests will be processed per DOC 690.400 Offenders with Disabilities.

DIRECTIVE:

- I. Confidentiality
 - A. Resolution request documents will be maintained as confidential and only disclosed on a need to know basis.
 - B. Resolution documents, records, reports, and other information will be subject to public disclosure provisions per RCW 42.56 and WAC 137-08.
- II. General Requirements
 - A. The Resolution Program Manual provides detailed information about the process to include:
 1. Concerns that are accepted/not accepted
 2. How to submit a request
 3. Levels of review
 4. Response timeframes
 5. Decision making process
 6. Appeal process

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- B. Facilities will maintain the Resolution Program Manual in an area accessible to individuals, to include:
 - 1. In the library, law library, and living units in Prisons
 - 2. In the lobby in Field Offices
- C. Information regarding the resolution process will be provided during orientation per DOC 310.000 Orientation and case managers will provide the Resolution Program Handout during initial intake.
- D. Submitting a resolution request will not result in disciplinary action unless it:
 - 1. Is determined to be a violation per DOC 460.050 Disciplinary Sanctions or DOC 460.135 Disciplinary Procedures for Work Release (e.g., contains a direct threat to the life/safety of anyone, retaliation, intentionally declaring a false emergency).
 - 2. Abuses the resolution process (i.e., abuse by quantity).

III. Responsibilities

- A. Individuals are expected to attempt to resolve concerns informally and at the lowest level before filing a resolution request.
- B. Each Prison will designate an employee as the Resolution Specialist.
- C. In Work/Training Releases and Field Offices, the Community Corrections Supervisor (CCS) will act as the Resolution Specialist.
 - 1. The Field Office CCS will provide resolution requests to the appropriate Field Administrator to assign an employee to review the concern.
- D. The Superintendent and Work/Training Release CCS will designate:
 - 1. Alternate Resolution Specialist(s) for prolonged absences, and
 - 2. Employee(s) who will process emergent requests after business hours.
- E. The Resolution Specialist will:
 - 1. Ensure resolution requests are picked up at least twice a week as posted on the resolution box.
 - 2. Encourage informal resolution of concerns.
 - 3. Provide orientation regarding the resolution process to employees, contract staff, and volunteers.



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4. Coordinate reviews and ensure responses are completed within established timeframes.
 5. Ensure the individual is interviewed at least once prior to Level III.
 6. Ensure that employees assigned to review concerns document each review as necessary to understand the problem fully, and to prepare an accurate and fair response.
 7. Preserve surveillance video related to an incident, if applicable, within 30 days of the incident.
- F. The Superintendent/CCS will:
1. Review Level II reviews and issue responses, with the exception of health services-related concerns.
 2. Identify a plan to provide support to the facility Resolution Program to ensure timely responses to concerns.
 3. Review data and information provided by Resolution Specialists to address trends or issues that arise.
 4. Ensure the Resolution Specialists have adequate support to complete their work in a timely manner.
- G. The Resolution Program Manager will:
1. Review and update the Resolution Program Manual as needed, and ensure it is posted on the Department's website.
 2. Provide training to Resolution Specialists and assigned employees/contract staff.
 - a. Training will be provided initially, as a refresher, or as requested.
 3. Respond to appeals of resolution requests that were not accepted.
 4. Review health services resolution requests to determine if the request requires a rewrite or will not be accepted.
 5. Ensure facilities are maintaining the Resolution Program Manual appropriately.
 6. Evaluate facility and statewide resolution procedures to ensure they are efficient and effective.


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IV. Resolution Process

- A. Individuals will document concerns that they cannot resolve on DOC 05-165 Resolution Request and:
 1. Place it in the resolution box in Prisons and Work/Training Releases.
 - a. If a resolution box is not available, individuals can request an envelope.
 2. For individuals on community supervision, the form(s) will be submitted to the Field Office CCS to forward or mail to the Resolution Program Manager.
- B. Resolution request forms may be obtained from employees and will be available in locations accessible by individuals, to include living units and other designated areas.
- C. Formal reviews will be documented using DOC 05-311 Resolution Review Report.
 1. When the assigned employee/contract staff cannot meet a response due date, the Resolution Specialist will send DOC 05-171 Notification of Time Extension to the individual stating the number of days added, the new due date, and the reason for the extension.
- D. Individuals may appeal a Level 0, Level I, or Level II resolution response using DOC 05-165 Resolution Request.
- E. Responses to appeals will be made using one of the following level forms, as appropriate:
 1. DOC 05-166 Level I Resolution Response
 2. DOC 05-168 Level II Resolution Response
 3. DOC 05-169 Level III Resolution Response
 - a. Level III responses are the final level of review and cannot be appealed.

V. Documentation

- A. Documentation will be maintained electronically, and facilities/offices will maintain physical resolution documents for 6 months after the date of final resolution. A request will then be made to the Resolution Program Manager to dispose of the physical documents.

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1. A designated employee will conduct an audit to ensure documents are maintained electronically prior to submitting the request. Records will not be destroyed until authorization is received.
- B. Video evidence and/or recordings at any level of a review will be sent to and maintained by the Headquarters Resolution Program Unit per the Records Retention Schedule.

DEFINITIONS:

The following words/terms are important to this policy and are defined in the glossary section of the Policy Manual: Abuse by Quantity, Retaliation. Other words/terms appearing in this policy may also be defined in the glossary.

ATTACHMENTS:

None

DOC FORMS:

- DOC 05-165 Resolution Request
- DOC 05-166 Level I Resolution Response
- DOC 05-168 Level II Resolution Response
- DOC 05-169 Level III Resolution Response
- DOC 05-171 Notification of Time Extension
- DOC 05-311 Resolution Review Report