



CMC DENVER GROUP SAFETY AND LEADERSHIP COMMITTEE POLICIES AND PROCEDURES 2014

Revision History	ii
OVERVIEW	1
Mission Statement.....	1
Committee Authority	1
Purposes, Goals, Programs, and Services	2
Committee Relation to Denver Council and to CMC State Board	2
Purpose of Manual	2
COMMITTEE MEMBERSHIP	3
Qualifications for Committee Members	3
ROLES AND RESPONSIBILITIES	3
Responsibilities of All Members	3
Member Roles	4
Etiquette	6
Conduct	7
Confidentiality	7
Quorum	7
Requests to Denver Group Council	7
DISCRIMINATION AND HARASSMENT POLICIES	7
Antidiscrimination Policy	7
Anti-harassment Policy	7
Leader Requirements for Trips	8
Waivers	11
Liability	12
Continuing Requirements to Remain a Leader	12
LEADER APPLICATION PROCESS	13
Review of Applications.....	13
Approval Notification	14
TRIP LEADER SUPPORT	16
Periodic Communications to CMC Denver Leaders	16
INJURIES, ILLNESS, AND INCIDENTS.....	16
Emergency Contact with Staff and Relatives	16
Definitions.....	16
Incident Report Guidelines	17
Investigation/Inquiry Processes	17
RECORDS STORAGE.....	18

Denver Group Safety and Leadership Committee – Policies and Procedures

APPENDIX..... 19

DS&L CHARTER 19

REVIEW TEAM INVESTIGATION/INQUIRY TO INCIDENTS OR COMPLAINTS 22

Fly Fishing Leader Certification Requirements..... 26

Downhill Ski Trip Coordinator Certification Requirements 27

Cycling Trip Coordinator Certification Requirements 28

CMC Serious Incident Review Process 30

Denver Group CMC Incident Investigation Policies 32

CMC State Alcohol Policy See CMC Board Manual 36

Anti-Harassment/Non-Discrimination 36

Guidelines for Routine Upgrades in CMC Denver Leader Status 36

Colorado Mountain Club Board Manual 37

CMC Policies Related to Trips 37

CMC Code of Conduct 37

CMC Trip Leader Manual 37

SECTIONS OF MANUAL APPLICABLE TO TRIP LEADERS:

All sections are pertinent to leader activities, training and accident investigation with the exception of Committee Membership pp 3-6, and Records Storage, p 9.

Revision History

	Date	Revision Description	By
1	11/20/2008	Revisions/Approved	DS&L
2	01/15/2009	Revisions/Approved	DS&L
3	4/20/2009	Revisions/Approved	DS&L
4	9/2010	Revisions	DS&L
5	2/2012	Revisions	DS&L
6	2/2014	Revisions	DS&L
7			
8			
9			
10			



CMC DENVER GROUP

SAFETY AND LEADERSHIP COMMITTEE

POLICIES AND PROCEDURES 2014

OVERVIEW

Mission Statement

The mission of the Denver Safety and Leadership Committee (DS&L) is to train, certify, and support CMC Denver leaders while establishing and maintaining leadership and safety standards through offering educational opportunities and investigating reported accidents, incidents and complaints

Committee Authority

DS&L operates under CMC State Board Manual, DS&L Charter (See Appendix), Denver CMC Operating Policies, and has the authority and obligation to:

- Establish trip leader qualifications, applications and determine if all requirements are met.
 - Certify trip leaders for only those type(s) of trips for which applicants have met all requirements.
 - Provide trip leader training through Trip Leader School
 - Provide recurrent leader training and education through electronic newsletters and social events
- Investigate incidents, accidents, complaints and near misses experienced on official CMC Denver trips. The State Trip Leader manual provides that DS&L may temporarily suspend any CMC Denver trip leader during whose trip a death or serious injury has occurred or when a written, legitimate complaint is received against the leader that alleges dangerous leadership, poor judgment, or unsafe conduct resulting in an injury or potential injury, pending a full investigation. (See Appendix for Review Team Investigation Process)
 - If leader is cleared from temporary suspension, DS&L will reinstate him/her to full leader status and notify Denver Group Council Chair and State Safety and Leadership Chair of such action.
 - If leader is found deficient, DS&L may require educational or other activities before reinstatement or, may permanently suspend him/her from leading Denver trips. DS&L will notify the Denver Group Council Chair who will notify all Groups and the State Safety & leadership Chair of any permanent leader suspension within Denver Group.
 - Membership Services must be notified by the Denver Group Council Chair of

Denver Group Safety and Leadership Committee – Policies and Procedures

any temporary or permanent suspension of leaders in order to change the data base records for such leader.

Purposes, Goals, Programs, and Services

The purpose of the CMC DS&L is to carry out CMC Denver responsibilities, as delegated to the committee, to assure that CMC Denver trips are led by appropriately trained and qualified leaders and that safety requirements are established and adhered to by leaders. The goal of the DS&L is to assure that leaders for CMC Denver trips are trained, qualified, and supported. In order to accomplish this goal, the DS&L has established the following programs and services:

- Requirements for the certification of trip leaders, consistent with or greater than the CMC State Leadership Manual
- Trip Leader School
- Leader in Training Trips
- Avalanche Terrain Avoidance
- Active/Inactive/Emeritus Leader Program
- A communication system with Denver leaders through electronic newsletter distribution: recognition of leaders and continuing education of leaders at least annually
- A system for investigation of accidents, injuries, illness, complaints and near misses and reporting results of the investigations

(Approved Nov. 20, 2008) (Updated 2/2014)

Committee Relation to Denver Council and to CMC State Board

The DS&L Chair reports to the Denver Group Council Chair. The DS&L has been authorized by the Denver Group Council to train, certify, educate and recognize trip leaders; investigate accidents, incidents, complaints and near misses. (Updated 2/2014)

The DS&L Chair must be approved by the Denver Council. The Denver Council annually appoints a liaison to the DS&L Committee through whom Denver Group Council requests to the DS&L are transmitted.

The DS&L does not report directly to the CMC State Board but may coordinate with the State Safety and Leadership Committee. (Updated 2/2014)

Purpose of Manual

The purpose of this manual is to document the purpose, authority, working relations, and operations of the DS&L. It is a guide to the Committee, especially new members, in conducting business. This manual is a living document that shall reflect current procedures and practices. (Updated 2/2014)

COMMITTEE MEMBERSHIP

Qualifications for Committee Members

Each member must be a CMC Denver member in good standing and be a certified Denver leader.

Attendance requirements

DS&L meets most months of the year. If a member cannot attend a meeting, they shall notify the secretary prior to the meeting. Members must attend at least 75% of meetings to remain in good standing. If necessary, attendance can be via teleconference. Additional accommodation may be granted.

Guests may attend non-executive sessions of all DS&L monthly meetings.

Terms

The term of committee membership is three years, renewable for an additional three-year term upon acceptance by DS&L. There is no limit to the number of renewals.

Knowledge requirements

(Updated 2/2014)

New committee members are identified and invited to join the committee by existing committee members but must be ratified after the fact by the Denver Group Council.

Upon acceptance to DS&L, new committee members shall be provided the DS&L Policy and Procedure Manual within 10 days of joining the committee and a list of committee members, titles and contact information.

ROLES AND RESPONSIBILITIES

Responsibilities of All Members

All members

- a. Know DS&L's mission, purposes, goals, programs, and services
- b. Respect the work and authority of DS&L
- c. Actively participate in addition to the meetings, particularly with DS&L's Trip Leader School and Leader Education Event(s) (Updated 2/2014)
- d. Participate in at least one DS&L program or project
- e. Suggest agenda items for meetings, ensuring that significant policy-related matters are addressed
- f. Prepare for DS&L meetings by reviewing information provided about DS&L's operations prior to meetings
- g. Ask timely and substantive questions
- h. Donate time and other resources without monetary compensation

Denver Group Safety and Leadership Committee – Policies and Procedures

- i. Keep up with the trends in the DS&L's fields of interest
- j. Avoid even the appearance of a conflict of interest that might embarrass DS&L or CMC , and disclose any possible conflicts to DS&L in a timely fashion

Effective S&L member characteristics:

- a. Enthusiasm for DS&L's mission
- b. Ability to listen, analyze, think clearly and creatively, work well with people individually and in a group
- c. Willingness to learn and to be open to new ideas
- d. Possession of honesty, sensitivity to and tolerance of differing views, a friendly, responsive and patient approach, community-building skills, personal integrity, and a developed sense of values
- e. Possession of specific skills that DS&L needs and willingness to use those skills

(Approved Nov. 20, 2008)

Member Roles

Each member will fill one or more of these roles: DS&L will add new members when a vacancy occurs. Electronic voting on all agenda items, including leader certification, is deemed valid.

Chair

Presides at all meetings, calls special meetings when needed, fixes the date, hour and place for all regular and special meetings, appoints all committees and carries on the business of S&L. Communicates with leaders their concerns or suggestions relevant to DS&L, brings those issues to DS&L, and addresses them per DS&L's resolutions. He or she shall be an ex-officio member of all sub-committees and liaison with state officials.

In conjunction with the DS&L Finance Director prepare the annual budget and present it to the committee for approval and subsequent submission to the DG Council Treasurer.

Present to committee members the proposal for Eckhart Roder Grant purpose and amount; submit such to the Eckhart Roder Education Foundation (EREF) as the DS&L representative to the Annual EREF Dinner. (Updated 2/2014)

Recruit appropriate leaders who have benefited from either Trip Leader School or AIARE Level 1 to give a short presentation at the EREF Dinner. (Updated 2/2014)

The DS&L Chair ensures appropriate communication between the Council and DS&L, preparing reports as requested.

Secretary

The Secretary keeps records and minutes of meetings and electronic votes of DS&L and performs such other duties as DS&L directs. Formally communicates DS&L decisions to appropriate parties. Maintains the P&P Manual; ensures that records of incident resolutions, trip leader applications, certifications and other D&L decisions are on electronically available to the CMC office.

If the Chair is unable to preside or act, for any reason, the Secretary shall assume the duties of the Chair, until he or she resumes their duties or S&L selects a replacement.

Safety Director

Either initiates inquiry or investigation of accident, incident or complaint him/herself or recruits committee members as part of the Investigation Review Team; presents significant issues to DS&L members at regularly scheduled committee meetings, oversees written description of results of investigation/inquiry. The Safety Director conveys appropriate files electronically to the Committee Secretary. (Updated 2/2014)

In cases involving fatal, potentially life threatening or disabling injuries, the Safety Director and Chair determine notification to CEO and compliance with the CMC Emergency Action Plan, (EAP), linked from the Leader Information page, at <http://www.cmc.org/docs/CMC EAP 2009.pdf>

The Safety Director prepares one schedule of incidents/accidents/complaints annually with names of those involved and another without names of those involved. A summary schedule is submitted to the DS&L members for final review prior to the summary schedule without names, which is provided to the DGC Chair, the State S&L Chair and a staff liaison. (Updated 2/2014)

Leader Certification Coordinator

The Leader Certification Coordinator verifies qualifying information, presents applications/qualification grids to DS&L either electronically or by hard copy, ensuring that the applicants qualifications match requirements. He/she conveys appropriate records to Secretary and to CMC Membership Services personnel who are responsible for activating new leader certifications within the Trip Scheduling and Registration System. He/she notifies the applicant electronically of certification or advises of additional requirements. (Updated 2/2014)

Trip Leader School Director

Determines fees, prepares the annual TLS budget, determines content, prepares agenda, fixes the date, hour, and place, recruits presenters, conducts trip leader classes, with the approval of DS&L and according to CMC guidelines, and conveys appropriate records to Secretary and Membership Services personnel for updates to Schools and member qualifications. (Updated 2/2014)

Assistant Director Trip Leader School

Assistant TLS Director aids Director in preparing for and implementing the TLS curriculum; term is two years and may be renewed for additional terms as approved by DS&L.

Leader Continuing Education Director

Determines content, prepares agenda, fixes the date, hour and place, recruits presenters or assistants, and conducts leader meetings and other educational matters, with the approval and active involvement of DS&L. (Updated 2/2014)

Website Trip Leader Page Coordinator

Is responsible for updating Trip Leader Pages on hikingdenver.net, posting meeting minutes, identifying changes needed to Trip Leader Page format.

Additional roles may include:

At Large Member(s)

Assists in various roles and sub-committees as needed. Number of at-large members will be determined as needed by the Committee. The Committee will determine if At Large Members are exempt from attendance requirements and whether voting privileges are extended to At Large Members. (Updated 2/2014)

Advisory Member

Provides medical, legal, or other special advice to committee. Advisory members are exempt from attendance requirements and do not have voting privileges.

(Approved Nov. 20, 2008)

COMMITTEE MEETINGS

Etiquette

The rules contained in the CMC Board Manual shall govern all meetings. All attendees should silence phones and other noise-generating devices.

Conduct

All meetings of the DS&L shall be open to attendance by any CMC member in good standing. However, the Committee may convene in private session for the consideration of any matter that may come before them, but the vote or other final action of the Committee shall be taken in open session.

Confidentiality

Maintain confidentiality of the Committee's meetings and speak for the organization only when authorized to do so. Including the names of participants in the minutes does not violate confidentiality. However, there shall be no references to individual's names as related to accident, incident or complaint inquiry.

Quorum

A quorum of the DS&L consists of one-half of the members.

(Updated 2/2014)

Requests to Denver Group Council

Include an estimate of the cost and benefits in requests to Council for actions that involve expenditures.

(Approved 9/2010)

DISCRIMINATION AND HARASSMENT POLICIES

These CMC state policies are available on line. (See Appendix)

Antidiscrimination Policy

The Colorado Mountain Club does not discriminate in accepting individuals or families for membership or participation in official CMC activities based upon race, creed, color, religion, national origin, ancestry, marital status, gender, sexual orientation, age, disability, veteran status, political service or affiliation.

Anti-harassment Policy

All persons participating in CMC activities are expected to treat all others with respect and concern. The CMC will not tolerate abusive, harassing, or discriminatory actions or communications. Anyone experiencing or witnessing such behavior is invited to submit a written complaint to the CMC President, or CEO for investigation. Consequences of inappropriate behavior may include a verbal warning, written warning, suspension, or expulsion from the CMC. (Approved Nov. 20, 2008)

- If harassment occurs during a school activity, the instructor should handle the incident in the field and complete an Incident Report Form for the School Director and DS&L. DS&L shall notify Denver Group Council, and the CEO as appropriate. (Updated 2/2014)
- If harassment occurs during other CMC activities, the leader should handle the incident in the field and complete an Incident Report Form for DS&L. DS&L

Denver Group Safety and Leadership Committee – Policies and Procedures

shall notify the Denver Group Council and the CEO as appropriate.

(Updated 2/2014)

Leader Requirements for Trips

- Every official CMC Denver trip must be led by a member certified as a leader by DS&L.
 - DS&L reviews and certifies leaders for hiking, backcountry skiing, snowshoeing, fly-fishing, and technical climbing including rock, ice and traditional climbing. The Technical Section determines the qualifications for a climbing leader; DS&L certifies an applicant has met the climbing qualifications. (See Appendix for fly-fishing certification requirements)
 - Applicants requesting to lead backpacking trips or winter camping trips should complete a backpacking or winter camping Leader-in-Training (LIT) trip. Backpacking or winter camping leaders must complete Avalanche Education Training if appropriate (See Avalanche Education).
 - Trips to Nordic Centers or Downhill Skiing Resorts and Cycling trips, road or mountain bike, require a Trip Coordinator who is also certified by DS&L. (See Appendix).
 - Although instructors are encouraged to be certified leaders, Denver School Directors determine the requirements for instructors.
 - Adventure Travel and Trail Work Crew trip leaders are required to have additional training, provided by the specific entity, to qualify to lead these trips.

The requirements to be a Denver trip leader are:

- CMC Denver membership – current paid status. Please note that other CMC Groups must approve their own leaders.
- Those approved as a CMC leader by a non CMC Denver Group may request approval to lead CMC Denver trips. Leading for two separate CMC groups requires the leader have two separate membership ID numbers which allows leaders to schedule for their “home” group and CMC Denver separately. (Updated 2/2014)
- Trip Leader School – successfully completed within 18 months of application. Completion of a trip leader school from a non-CMC Denver group may be recognized by the DS&L upon evaluation of the non-CMC Denver curriculum for consistency with the DTLs.

Denver Group Safety and Leadership Committee – Policies and Procedures

- Three CMC trips completed – This is a prerequisite for taking Trip Leader School. At least two of the three trips must be hiking, snowshoeing or backcountry ski trips. (Approved 1/15/09), Updated 9/20/10)

Trip Leader School Prerequisites

- CMC member in good standing
- 18 years of age (Approved 9/20/10)
- Wilderness First Aid (WFA) current status (within three years). Basic First Aid is not adequate to meet this requirement. Re-certification every three years is encouraged. Although CPR is recommended it is not required. (Updated 2/2014)
- Completion of three CMC trips, at least two of the three trips must be hiking or snowshoeing or backcountry ski trips. (Approved 1/15/09, Updated 9/20/10)
- Leader in Training (LIT) trips – Those applicants who completed TLS prior to 2013 must complete two LIT trips with two separate leaders to whom they are not related, in two separate locations.
- Those applicants who completed TLS after 2013 must complete one LIT trip with a Denver Group leader unrelated to the applicant. The LIT trip should be at the highest level at which the applicant is requesting approval to lead. A snowshoe trip may substitute for the equivalent level of hike. Field trips led as part of a school other than TLS generally do not count as an LIT trip. (Updated 2/2014)
- The leader candidate must perform all functions included in the LIT Guidelines. (See Appendix)
 - Scout the trip, as necessary.
 - Act as trip leader at the meeting place, trailhead, on the trail, and back at the trailhead.
- The actual leader of record
 - Observes and evaluates performance based on LIT guidelines. The LIT evaluation is provided to the individual by the leader of record; the LIT evaluation should be attached to the applicant's leader certification application.
 - Does not actively perform any leader functions on the trip unless he/she believes that intervention is necessary for safety or to prevent serious situations from occurring.

Avalanche Training

To preserve local traditions while affecting a smooth transition to training requirements more consistent with national avalanche training standards, Denver trip leaders will be administered as two groups. The two groups will temporarily have different training requirements.

- **Traditional (or current) Trip Leaders** are trip leaders certified before October 1, 2011.
- **Winter Trip Leaders.** Traditional winter trip leaders are grandfathered-in for five years. These leaders may continue to lead winter trips, including winter backcountry trips, until October 1, 2016, without further avalanche training.
- **Summer-Only Trip Leaders.** Traditional leaders who have **not** taken the Avalanche Awareness School (AAS) offered prior to June 2011 are therefore qualified to lead summer trips-only and have traditionally been able to lead winter hikes in non-backcountry terrain. These leaders are grandfathered-in for five years and may continue leading winter hikes without avalanche training but only on Open Space trails, until October 1, 2016,
- **Refresher Training.** Traditional winter trip leaders have no additional avalanche training requirements during the five year transition period. After September 30, 2016, winter backcountry trip leaders shall be able to “retrain” by meeting “Refresher AIARE Level 1 Training” as approved by DS&L on November 18, 2013 or by retaking ATA. (See Refresher AIARE Training in Appendix)
- **Contemporary (new) Winter Trip Leaders** are trip leaders certified after September 30, 2011 who also complete one of two avalanche training courses.
- **Winter Backcountry Leaders.** Contemporary (new) leaders shall complete a 24-hour, AIARE Level 1 avalanche training course prior to leading backcountry trips. L-1 training requires an AIARE administrative course provider, generally a non –CMC member and ITC instructors who are Denver CMC certified leaders. The cost of AIARE ITC training for certified Denver leaders who have previously completed L-1 training may be reimbursed to such leaders as determined by the Denver CMC AIARE School Director.

L-1 scholarships may be offered to previously certified Denver leaders by DS&L from funds available through grants and/or ATA Seminar funds in excess of profit required by the Denver Group Council on an annual basis.

- **Winter Non-Backcountry Leaders.** Contemporary (new) trip leaders shall complete the 3-hour Avalanche Terrain Avoidance (ATA) class before leading

Denver Group Safety and Leadership Committee – Policies and Procedures

winter trips into low-hazard, non-backcountry terrain or Open Space trails. The minimal training familiarizes leaders with why they need avalanche training in the backcountry, and enables them to differentiate between avalanche prone and low hazard terrain. It also brings all new Denver winter trip leaders up to a minimum knowledge level about winter travel in the mountains.

Refresher Training. Contemporary (new) trip leaders shall complete avalanche refresher training as indicated below:

- AIARE Level 1 recertification is required 5 years from the date of the leader originally completing AIARE Level 1. (See Appendix to this document for AIARE Level 1 Refresher Training)
- ATA refresher training shall be the regular, 3-hour ATA seminar, every three years.

Alternative Training. Waivers for AIARE prior training completed within the 5-years may be requested with an attached acknowledgement of training completion. Waivers for ATA prior training completed within 3-years may be requested with an attached acknowledgement of training completion. Requests for avalanche training waivers shall include the course description, date of completion, provider of the course and contact information. Such request for avalanche training waivers may be sent to DS&L, c/o CMC 710 Tenth Street, Golden, CO 80401

- **Hiker or Skier classification** at the level that they are requesting to lead.
- **Application Form** – Completed in full with LIT form and copy of WFA certificate attached (See Appendix for Non-Technical Leader Application & Technical Leader Application) (Updated 2/2014)

Waivers

DS&L has the right to waive requirements in unusual cases as long as waived requirement is not a CMC State Leadership Manual requirement. Examples of waived requirements may be:

- For leaders completing TLS prior to 2013, the second LIT trip in cases where the applicant has led similar trips for other organizations.
- The WFA Director is the only School Director who may waive medical training based upon circumstances of an applicant's profession or alternative outdoor medical training (e.g., EMT, RN, MD, and DO).

(Updated 2/2014)

Liability

CMC has liability insurance that covers volunteers and staff. In addition, the Colorado Good Samaritan Law covers volunteer leaders in the case of litigation, unless the action by the leader constitutes gross negligence. (Updated 2/2014)

Continuing Requirements to Remain a Leader

Basic Requirements

- Leaders must maintain paid CMC membership status.
- Leaders must lead a trip annually or in the case of Senior Instructors must lead a school field trip annually.
 - Leaders or School Instructors who have not led a trip annually with be considered INACTIVE and have their names removed from the CMC Leader Database. An Inactive Leader Data Base shall be maintained by CMC staff and by DS&L Active Leader Program Coordinator. DS&L will communicate annually the Active Leader requirements and Active Leader Reinstatement Requirements to leaders through electronic distribution of such requirements. (See Appendix for Leader Reactivation)

Continuing Wilderness First Aid Requirements

When you are in the mountains, you might be hours (or even days) away from definitive medical care. The well-being or life of members of the group may depend on the leader's knowledge of wilderness first aid. (Basic first aid courses teach care for only a few minutes, until the paramedics arrive.)

- DS&L strongly recommends that leaders renew their WFA certification every three years.

Trip Leader Competencies

The CMC Trip Leader Manual (See Appendix) lists the competencies required of trip leader candidates.

LEADER APPLICATION PROCESS

Review of Applications

CMC Membership Services staff receives a Leader Certification application and provides the DS&L Certification Coordinator with an electronic copy of the document and all attachments. Should a paper copy be received, staff will scan the paper copy and then provide an electronic copy to the Certification Coordinator.

1. Certification Coordinator ascertains that the certification documents include:
 - Completed application form
 - LIT Evaluation noting that the LIT Trip must be at the highest level the applicant wishes to lead. Those applicants wishing to be certified as Rock Leaders should complete the Technical Certification Application (see Appendix). Those applicants wishing to be certified as Fly Fishing, Backcountry Ski, and Backpacking Leaders should complete the LIT trip within these designations. Those desiring to lead technical trips must meet the requirements stated on the Technical Trip Leader Application (See Appendix).
 - Three CMC trips completed
 - WFA certificate within 3 years
2. Request that staff check the CMC database to verify:
 - Current Denver member status
 - Hiking level
 - Ski level
 - TLS within 18 months
 - ATA or AIARE Level 1 Completion
 - Other schools listed by applicant
3. Determine if applicant qualifies for the level they are requesting to lead.
4. If the Certification Coordinator determines the applicant has met all requirements for the trip classification level they desire to lead the Certification Coordinator may certify the applicant as a leader. A notice of the individual's name, leader certification level any relevant information should be sent to DS&L members and Membership Services staff when the Certification Coordinator has completed the process. The Membership Services staff will update the individual's status in the data base which will allow the newly certified leader to schedule trips. The Certification Coordinator will notify the newly certified leader electronically of his/her leader status. (See Approval Notification below)
 - If there are any issues related to the applicant, the Certification Coordinator will provide information to DS&L members electronically. If possible the

Denver Group Safety and Leadership Committee – Policies and Procedures

issues should be resolved within 5 days from the date the Certification Coordinator sends the original e-mail to committee members. If it is not possible to resolve the issues within 5 days, then the applicant issue will be brought forth as an agenda item at the next DS&L meeting to be discussed and acted upon.

Approval Notification

The e-mail sent to the certified applicant should indicate:

- Date of approval
- Season(s)
- Type(s) of trip certified
- Whether the leader is designated as a substitute leader
- Requirements or recommendations for additional trip category approvals

Denver Group Safety and Leadership Committee – Policies and Procedures

- **Sample Email:**

From: Leader Certification Coordinator
Sent: Monday: March 17, 2014
To: Newly approved leader
Cc: DS&L Chair; CMC Member Services Staff
Subject: Denver Safety and Leadership Committee Certification

(Updated 2/2014)

Dear Name,

Congratulations!

The Denver Safety and Leadership Committee has certified you as a CMC Denver leader effective *DATE*. You are certified to lead *SEASON(s)* at *TYPE OF* trips up to your level of classification which is currently *LEVEL X*.

As leaders gain higher CMC classification levels, their leader status increases correspondingly. There is no need to reapply to DS&L unless a specific recommendation has been made as part of your certification process.

DS&L will gladly pair you as a newly certified leader with a more experienced Active Leader in your initial trips. Just contact *NAME* at *EMAIL*.

Thank you for volunteering as a Denver Leader to support and educate our members.

Happy trails,

Name

Full Name, Leader Certification Coordinator
Phone: XXXXXXXXXX

TRIP LEADER SUPPORT

Leader Continuing Education

This may include educational seminars and events sponsored by DS&L to recognize and appreciate CMC Denver trip leaders and instructors, promote leader interaction in a relaxed, social setting, and provide education and information on a select topic(s) and current issues pertinent to leading trips.

Periodic Communications to CMC Denver Leaders

- Clearly identify that the email is from DS&L
 - Requests for content from other entities shall be included when they align with DS&L objectives on a space-available basis

INJURIES, ILLNESS, AND INCIDENTS

Emergency Contact with Staff and Relatives

In cases involving fatal, potentially life threatening or disabling injuries, leaders must use the CMC Emergency Action Plan, (EAP), linked from the Leader Information page, at <http://www.cmc.org/docs/CMC EAP 2009.pdf>. Trip Leaders shall call the CMC Emergency Call Service (269-384-1056) available 24 hours a day, 7 days a week. The Trip Leader shall provide the CMC Emergency Call Service the following information:

- Trip Leader Name
- Trip Leader Phone contact
- Injured party's (parties') name(s), age, chief complaints
- Accident date and time
- Present location of injured party and location of accident
- Brief description of circumstances

[Approved 2/9/09, updated 9/20/10]

Definitions

- **Accident** – An unexpected or undesired event that may or may not include an injury. Non-injury accidents may be reported as a Near Miss.
- **Illness** – Sickness that occurs trailhead to trailhead regardless of relationship to the trip, e.g. altitude sickness, diabetic episode, heart attack, asthma attack, hypothermia, frostbite, epileptic seizure, heat exhaustion.
- **Incident** – Used broadly to refer to all injury and illness reports, safety issues, and includes interpersonal events, behavior, or action by leader or trip participant.

Denver Group Safety and Leadership Committee – Policies and Procedures

- **Injury** – Damage or wound to a person that requires medical attention and that occurs trailhead to trailhead, including aggravation of a pre-existing condition, e.g., a “bad” knee, “bad” back.
- **Near Miss** – A situation which could have led to an incident but was averted due to action taken by the leader, an individual or the group as a whole, e.g., tripping on a tree root resulting in a skinned knee and hands resulted in cleaning the scrapes and walking the injured party back to the trail head. Classified as a Near Miss because walking the injured party back to the trailhead rather than continuing to the peak destination potentially resulted in not injuring the knee further.
- **Complaint** – Written communications about actions by either a leader or a member reported to DS&L by a leader or member identifying conduct deemed unsafe, unethical, or unfriendly, e.g., leader leaves a slower hiker at the back of the group and does not wait for slower hiker at the meeting location; member knowing the trip has several stream crossings refuses to cross the first stream and must turn back to the trail head.

Incident Report Guidelines

Leaders and trip participants are encouraged to timely file an Incident Report (See Appendix). Filing an Incident Report timely allows DS&L an opportunity to conduct an inquiry or investigation, make recommendations, if necessary, and educate leaders and trip participants on safety and leadership issues.

- Incident reports are filed when incidents involving the following actions take place:
 - Incident response involves the use of outside agencies (police, hospital, emergency response, search and rescue, evacuation, etc.)
 - Participant involved in the incident receives or the leader recommends that the injured party/parties receive professional medical care. (Approved 10/18/10)

Report forms should be downloaded from the CMC web site, then electronically sent to Membership Services Staff who will provide an electronic copy to DS&L and appropriate CMC staff.

Investigation/Inquiry Processes

Investigations and inquiries include:

- Incidents/ Complaints about a Leader or Member

Denver Group Safety and Leadership Committee – Policies and Procedures

- Review Team Actions for Incidents/Complaints
- State Serious Incident Review Process Involving Fatalities

All information gained during an investigation/inquiry is confidential and not publicly disclosed unless arrangements have been made for such disclosure. The nature of the investigation/inquiry findings may be shared with the DGC and the CMC Board in Executive Sessions.

See Appendix for processes for each of these categories.

RECORDS STORAGE

Leader Applications

Electronic files are maintained by the Secretary, the Certification Coordinator and the Safety Director. At the end of each fiscal year, all electronic files are added to a “thumb drive”. The thumb drive may be retained by the Secretary or the Chair of DS&L and is passed on to a newly elected Secretary or Chair.

(Updated 2/2014)

All Incident Reports

- When an Incident Report is received by CMC staff, the staff member will file the incident report upon receipt and notify the DS&L Safety Director and Chair within three business days of receipt.
- DS&L Safety Director & Chair will electronically retain a computer compatible storage device of completed investigation findings, reports, and follow-up paperwork after review. The storage device will be passed from the outgoing Secretary to the incoming Chair each year.

Meeting Minutes

- Secretary distributes Minutes electronically to each DS&L member for review and approval.
- Once the Meeting Minutes are approved at a subsequent Committee meeting, any corrections are made by the Secretary and passed to the DS&L Website Trip Leader Page Coordinator for posting to hikingdenver.net Trip Leader Pages
- Secretary maintains a computer compatible storage device which is passed to the succeeding Secretary.
- There is no need for central storage at CMC. [per Katie Blackett 3/20/09]

(Approved 4/20/09)

APPENDIX

DS&L CHARTER

CHARTER FOR

DENVER GROUP CMC SAFETY AND LEADERSHIP COMMITTEE

CHARTER

Approved December 8, 2010

Revised September 12, 2012

The Denver Council of the Colorado Mountain Club (hereinafter Council) hereby charters the Denver Safety and Leadership Committee (hereinafter D S&L Committee) as authorized in Article IX, Section 1 of the Denver Group Bylaws to conduct the following activities of the Council, as delegated by the Council Chair:

In general the D S&L Committee has authority to manage Leaders and trips to promote safety. This authority includes all technical and non-technical leader training and certification. This authority does not include the classification of trips which is retained by Denver Group Council. It also does not include the scheduling or approval of trips which function is performed by the Trip Scheduling Committee.

Specific DS&L Committee functions shall include:

1. Safety:
 - a. To investigate all accidents and incidents arising out of trips and schools and make findings and recommendations regarding the same;
 - b. To record, retain, and report safety data;
 - c. To develop lessons learned and best practices for Denver Group Safety;
 - d. To report monthly to Denver Group Council as to the occurrence of any new injury incident and to provide a summary of any completed investigation.

Denver Group Safety and Leadership Committee – Policies and Procedures

2. Leadership Training and Certification:
 - a. To develop and provide a leadership training course for Denver Group technical and non-technical leaders; [Revised September 12, 2012]
 - b. To certify and approve all trip leaders. Special Sections can require additional training and certification;
 - c. To mentor and support leaders.
 - d. To decertify trips leaders who have not conducted trips for two years.
3. Leadership Newsletter:
 - a. To produce and provide to leaders a periodic leadership newsletter.
4. Leadership Summit:
 - a. To hold an annual leadership summit gathering of leaders for the recognition and education of trip leaders.
 - b. Denver Group Council shall allocate funds in the budget annually for this summit.
5. Safety Seminar:
 - a. To present a Safety seminar when appropriate open to leaders, club members, and the general public.
 - b. Denver Group Council shall allocate funds in the budget annual for this seminar.
6. Discrimination and Harassment:
 - a. To investigate and deal appropriately with reports of discrimination and harassment.

Denver Group Safety and Leadership Committee – Policies and Procedures

7. Trip Management:
 - a. To promote leaders to lead trips
 - b. Manage issues pertaining to trips such as member conduct on trips including no-shows, and separating from trips.
 - c. To compile and report statistics on trips including number of members participating on a trip per different trip category

The D S&L Committee Chair shall be appointed by the Denver Group Chair subject to approval by Denver Group Council. The term of the D S&L Chair shall be three years. D S&L Committee members shall be appointed by the D S&L Chair for a term of three years. The appointments of D S&L Committee members shall be confirmed by the Denver Group Council as provided in the Denver Group Bylaws, but only the D S&L Committee Chair need appear before Denver Group Council for confirmation. D S&L Committee members may be confirmed in absentia.

A request to resign of any DGSC member shall be in made writing for specific reasons by the DGSC Chair. Any committee member requested resign by the DGSC Chair may request a hearing before the DGC members as part of the resignation process. Resignation of a DGSC member may be requested for the following reasons:

- Lack of participation in committee deliberations or projects
- Violation of any State By-Laws or DG By-Laws or operating policies or procedures of either CMC State or Denver Group

The DS&L Chair may appoint subcommittees and their members, without confirmation by the Denver Group Council. Examples of subcommittees without limitation may include Leadership Summit and Safety Seminar subcommittees. Subcommittee members need not be members of the CMC.

The DS&L Committee Chair reports directly to the Denver Group Council Chair and they shall regularly communicate directly with each other. The Denver Group Chair shall be kept informed of changes in, and the result of, the D S&L Committee's major programs. Requests of the Denver Group Council shall be delivered directly to the D S&L Committee Chair by the Denver Group Council Chair.

A Denver Group Council liaison may be appointed to attend D S&L Committee meetings, to provide D S&L members background and context for Denver Group Council needs and requests, and to provide the Denver Group Council a second opinion on

Committee requests for Council support. The best relationship between Council Liaison and the D S&L Chair is to work in harmony toward mutual goals in the best interests of the Denver Group.

Approved by Denver Group Council December 8, 2010

Revision by Denver Group Council September 12, 2012

REVIEW TEAM INVESTIGATION/INQUIRY TO INCIDENTS OR COMPLAINTS

Purpose

The purpose of any investigation is:

- To determine what happened, i.e. the facts,
- To provide an opportunity for all involved to express their views on the matter,
- To educate rather than to punish,
- To resolve the matter expeditiously,
- To reach a fair and just resolution of the matter,
- To retain appropriate confidentiality,
- To communicate appropriately with those involved in the incident.

It is important to have a process to conduct the investigation that gives legitimacy to the investigation. *Overriding all of these concerns is the safety of CMC members.*

Pertinent Documents

See Appendix for CMC State Board Manual, State Leader Manual, and CMC Serious Incident Review Process

Grounds for Investigation/Inquiry

Grounds for investigation include:

- Unsafe actions by a leader or member
- Offensive actions by a leader or member against a member or leader
- Other serious inappropriate conduct of a leader or member

Upon receipt of a complaint about a leader or member during an official CMC Denver trip, or action dealing with the Activity Roster or Wait List, the Safety Director will determine if the incident is deemed routine or serious within 3 days of the receipt of the Incident Report Form.

A serious incident may be a fatality or serious injury or an event triggering a written complaint against a leader or instructor. In the event of a fatality or serious injury the leader will be automatically be temporarily suspended from leading until the investigation is complete and a recommendation made to lift the suspension or it is

Denver Group Safety and Leadership Committee – Policies and Procedures

determined additional education or training or permanent suspension from leading CMC Denver trips is warranted.

- Routine Incident Actions:
 - The Safety Director will determine whether forming a Review Team is required or whether he/she can handle the investigation/inquiry him/herself. The Review Team should consist of the minimum number of participants practical. The goal is to avoid a large team that could lead to a lengthy time line to complete the investigation/inquiry.
 - Review Team members should be selected based on their direct experience and skills with the type of trip/climb on which the incident occurred.
 - If technical input is advisable, then a DS&L committee member who is a member of the Tech Section will be appointed to the Review Team or a representative(s) of the Technical Climbing Section will be added to the Review Team.
 - Steps included in the investigation/inquiry may include but not be limited to: reviewing the reported violations or concerns, interviewing and collecting statements from participants, visiting the incident site and taking photographs or obtaining photographs of an area from on-line sources, any reports filed by authorities such as Search & Rescue if they were involved in an evacuation.
 - As part of the investigation/inquiry those involved in the incident are asked if their perspective of the incident can be released using individual names, dates and locations.
 - Review reported offensive actions of any trip participant, whether a leader or member (including harassment, physical violence, or very abusive and/or foul language) used against a leader or member.
 - Determine whether complaints of abusive, harassing, or discriminatory actions or communications can be handled by DS&L Review Team or should be managed by the Denver Group Chair or the CMC CEO.
 - Address non-leader member behavior that affects safety and/or leadership of e those participants on the trip. The CMC Code of Conduct (see Appendix) may be used as a guideline for addressing leader or member behavior.
 - If a Review Team is formed each member should write their report and provide it to the Review Team Leader who will finalize a draft of the report for review by the Team members prior to finalizing the report and distribution to DS&L members. If the investigation/inquiry is handled by the Safety Direction, he/she writes and completes a report and provides it to DS&L members.

Denver Group Safety and Leadership Committee – Policies and Procedures

- DS&L members will discuss the findings and may make additional suggestions of actions to the Safety Director. The DS&L members will determine whether the investigation/inquiry should be closed or remain open for additional action.
 - If the decision is made the report is closed, then the Safety Director will write a separate communication to the injured party/parties and Leader of Record. Involved parties do not receive a copy of the original Incident Report or the report of the Review Team or Safety Director to DS&L. The separate communication to the injured party/parties) and the Leader of Record should identify the incident and identify leader's and injured party's actions and safety recommendations.
 - If a response is required, the Respondent or Complainant has 10 business days to reply to the recommendations in the report and/or to request an appeal if deemed appropriate. (See Appeal page 25)
 - If leader is cleared from temporary suspension, DS&L will reinstate him/her to full leader status and notify Denver Group Council Chair and State Safety and Leadership Chair of such action.
 - If leader is found deficient, DS&L may require educational or other activities before reinstatement or, may permanently suspend him/her from leading Denver trips. DS&L will notify the Denver Group Council Chair who will notify all Groups and the State Safety & leadership Chair of any permanent leader suspension within Denver Group.
 - Membership Services must be notified by the Denver Group Council Chair of any temporary or permanent suspension of leaders in order to change the data base records for such leader.
 - The incident should be included in the Annual Incident Summary prepared by the Safety Director. If those involved in the incident have agreed to allow their names and the location to be released, the incident may be considered for use as a Lessons Learned event for other leaders as part of DS&L continuing education.
- **Report Format:**

The written report shall cover the following topics:

- a. **Incident:** Identify the Complainant and Respondent. Set forth a brief description of the accident/incident from the point of the view of the Complainant and the Respondent.
- b. **Investigation:** Set forth what was done to investigate the complaint, such as who conducted the investigation, who was interviewed and submitted statements.

Denver Group Safety and Leadership Committee – Policies and Procedures

- c. **Findings:** Set forth the critical factual findings, reporting what the investigation concluded as to what happened. The evidence supporting the findings does not have to be reported, only the findings themselves.
- d. **Conclusions:** Set forth a discussion of what CMC standards or rules were involved and whether any were violated.
- e. **Recommendations:** Set forth what actions are recommended.
Aggravating or mitigating factors should be considered when determining recommendations. Such factors include seriousness of conduct and/or injury, if any injury; presence or absence of prior upheld complaints against the Respondent; Respondent's contribution and service to the CMC; and Respondent's recognition of his/her misstep, if any was found.

- **Timelines**

1. Within 10 business days of complaint, appoint Review Team
2. Within 5 business days of appointment, request response from Respondent and begin interviews of Complainant and witnesses.
3. Respondent must reply within 10 business days.
4. Within 5 business days of Respondent's reply, determine whether additional investigation is required and conduct if needed.
5. Within 10 business days of Respondent's reply or of further investigation compile findings and draft a report.
6. Within 5 business days of the compilation, finalize and submit report.

- **Actions**

Actions which may be taken by the DS&L include the following:

- Dismiss the complaint as without merit.
- Advise the Complainant of the policies that support the Respondent's actions.
- Take corrective action advising the Respondent that he/she acted inappropriately and advising as to what the appropriate conduct would have been.
- Take educational action advising Respondent that he/she acted inappropriately and requiring Respondent to attend Trip Leader School or some other school or seminar.
- Suspend respondent as a leader, member or participant in a school
- Other appropriate action

In determining what action is appropriate, aggravating and mitigating factors should be considered. Aggravating factors include seriousness of the situation/injury and prior sustained complaints. Mitigating factors include prior contributions and service of the Respondent to the Denver Group and CMC and absence of prior sustained complaints.

- **Appeal**

If either the Complainant or the Respondent strongly disagrees with the report and/or final statement of DS&L, then an appeal can be made to Denver Group Council. The appeal shall be made in writing to DGC within 10 business days of

Denver Group Safety and Leadership Committee – Policies and Procedures

being sent the written notification summary. The appeal shall specifically state the reasons for the appeal. The DGC shall consider the appeal at the next Council meeting, if time is available, or at the next subsequent meeting. At its discretion, the DGC may provide an opportunity for the appealing party and the non-appealing party to be heard. The DGC may accept or modify the findings of the Review Team and S&L and may accept or modify the recommended actions.

(Updated 2/2014)

Fly Fishing Leader Certification Requirements

All existing Fly Fishing Trip Leaders are grandfathered prior to the adoption of these criteria by DS&L Committee on August 20, 2012.

- Successfully complete CMC Denver Trip Leader School
- Successfully complete CMC Denver Fly Fishing School or have equivalent experience
- Successfully complete Wilderness First Aid or have equivalent training or experience
- Successfully complete two LIT trips: One "A" hike and one Fly Fishing Trip; LIT may substitute a hike at a "B" or "C" level or backpack should they so elect to do so providing the LIT meets the B or C classification requirements or backpack requirements; the Fly Fishing Trip must be scheduled through the Denver Group Fly Fishing Section
- Demonstrate the following Flying Fishing trip requirements during the LIT Fly Fishing Trip:
 - Members of the trip must let the LIT trip leader know where they will be fishing and estimated return time
 - LIT schedules a return time and place for the group to meet at the end of the day; this necessitates all members have a time piece
 - LIT is aware of need for trip members to "Buddy up" with another member of the trip and keep in touch with them while fishing. (This requirement is for safety. If one of the two individuals needs help, then the other one can locate the rest of the group along the river or lake and assist as required)
 - Review safety and etiquette guidelines for Wading Fly Fishing with the members on trip prior to fishing. (These topics are covered in the CMC DG Fly Fishing Handbook used in the Fly Fishing School)

Downhill Ski Trip Coordinator Certification Requirements

It is recognized that during downhill ski trips to a licensed, commercial resort that participants may or may not ski together as a single group. It is also recognized that at a commercial resort there are available medical/emergency facilities and a formal ski patrol program.

CMC Denver downhill ski trips are to be contained within the commercial resort boundaries where the commercial entity maintains a patrolled ski area. Downhill Ski Coordinators and members registered for the trip are not authorized to leave the patrolled terrain while participating in an official CMC Activity Trip.

Any backcountry travel designation classifies the trip as a backcountry trip requiring the certified Denver leader to have completed AIARE Level 1 avalanche training if certified after September 30, 2010. All backcountry leaders certified prior to September 30, 2010 were grandfathered for 5 years from the AIARE Level 1 avalanche training requirement.

The basic skills/training for a Downhill Ski Coordinator are:

- Knowledge of safety procedures in effect at a ski area
- Procedure for contacting the ski patrol in an emergency
- Carpool organization, need for driving instructions, parking lot designation at the ski resort
- Understanding of group dynamics and assembly procedures such as setting meeting location at the beginning and ending of a trip and /or at lunch
- Determining the processes to be followed at designated departure time and the procedure needed in the event a participant has not arrived by the designated departure time
- Knowledge of basic trip procedures such as trip scheduling, trip confirmation, trip reports, guest policies and driver mileage reimbursement
- Knowledge of contact and accident/incident procedures if an accident has occurred

Downhill Ski Coordinators are certified by DS&L to coordinate trips to licensed, patrolled ski areas only. Existing leaders or new leaders who wish to be Downhill Ski Coordinators should submit an application to DS&L. All Downhill Ski Coordinators designated prior to June 18, 2012 are grandfathered from current certification requirements.

Should an accident occur at the commercial resort the injured party should notify ski area personnel they are a participant in a CMC Downhill trip and the Downhill Ski Coordinator should be contacted. Contact may be made by cell phone if service is available, or the ski patrol has the ability to post messages at chairlifts and will use other means to contact the Downhill Ski Coordinator.

Cycling Trip Coordinator Certification Requirements

The criteria apply to either road bike or mountain bike trip leaders. All existing bike trip leaders prior to August 2, 2012 are grandfathered and are not required to meet these criteria although most already do so. Members wishing to become bike trip leaders should complete the Trip Leader Application form and submit to DS&L.

- Successfully complete CMC Denver Trip Leader School
- Successfully complete WFA or have equivalent training or experience
- Demonstrate during a Leader in Training Ride:
 - Rules of the road
 - Ability to manage cycling group dynamic situations, including regrouping at intersections or junctions for direction changes where members could become separated
 - Familiarity with the selected LIT route
 - Knowledge of general bike maintenance: tire repair, chain breakage, brake problems
 - Carry a first aid kit with cycling items

It is recommended bike leaders complete a bike maintenance class offered by a bike retailer, bike safety organization or a similar organization. Wearing a bike helmet is required for bike leaders and bike trip participants.

CMC Denver Non-Technical Trip Leader Application

<http://www.cmc.org/Portals/0/GoverningDocs/AppTripLeader.pdf>

CMC Denver Technical Trip Leader Application

http://www.hikingdenver.net/wp-content/uploads/2011/03/Technical-Climbing-Trip-Leader-Application-Form-rev-08_13.pdf

CMC Denver Leader Reactivation Policies & Process

RETURN TO ACTIVE LEADER STATUS

A. If a leader has been on **INACTIVE LEADER** status for more than 12 months but less than 24 months and wishes to return to **ACTIVE LEADER** status, the leader may request to lead a DG trip with a co-leader who is a member of DS&L or a leader who has a trip classification equal to or greater than that of the Inactive Leader and has been identified by DS&L.

I co-led a _____ trip with _____ on _____ (date).

B. If a leader has been on **INACTIVE LEADER** status for more than 24 months but less than 36 months and wishes to return to **ACTIVE LEADER** status, the leader will be requested to read the on-line Leader Manual and respond satisfactorily to a DG Trip Leader School Quiz, as well as leading one trip with a co-leader who is a member of DS&L or a leader who has a trip classification equal to or greater than that of the Inactive Leader and has been identified by DS&L. It is recommended the leader attend WFA School.

I read the on-line CMC Trip Leader Manual on _____ and completed the Denver Trip Leader School Quiz on _____ (date).

I co-led a _____ trip with _____ to _____ on _____ (date)

I did/did not attend WFA School. If you attended, please indicate the date _____.

C. If a leader has been on **INACTIVE LEADER** status for more than 36 months and wishes to return to **ACTIVE LEADER** status, the leader will be requested to complete DG Trip Leader School, complete an LIT trip and complete WFA School.

I completed Denver Trip Leader School on _____ date.

I completed an LIT trip with _____ to _____ on _____ (date).

Denver Group Safety and Leadership Committee – Policies and Procedures

I completed WFA School on _____(date).
Having completed the requirements to return to Active Leader status, I hereby so request review by DS&L of my request.

_____Signature _____Date

Send to DS&L Committee, CMC, 710 Tenth Street, Golden, CO 80401 or e-mail
lk114er@comcast.net

CMC Serious Incident Review Process

The CMC is charged with the reviewing any trip during which is a serious incident occurs. A serious incident may be a fatality or serious injury or an event triggering a written complaint against a leader. In the event of a fatality or serious injury the leader or leaders will be suspended until the investigation is complete and a recommendation approved to lift the suspension. In the case of a written complaint regarding a leader, the leader may be suspended until an investigation is completed. Investigations may be led by a Group's Safety and Leadership Committee or may be led by a committee organized by the CMC Safety and Leadership Chair.

The following are guidelines adapted in part from the papers relating to the review process for serious accidents or incidents by Jed Williamson from Wilderness Risk Management Conference Proceedings and in part from experience with CMC investigations.

The goal of the review includes:

1. Determine if the mandatory suspension of the leader or leaders should be lifted.
2. Make recommendations for actions in regard to leaders.
3. Improve safety and risk management for CMC activities by recommending any measures that lead to reduced future risk.

Establishment of the Review Team

- A Review Team should be established by the CMC Safety and Leadership Chair or by the Group Safety and Leadership Chair as soon as it is clear that a serious incident has occurred on a CMC trip.

Denver Group Safety and Leadership Committee – Policies and Procedures

- The chair of the Review Team is normally selected by the CMC Safety and Leadership Chair or the Group Safety and Leadership Chair. If considered necessary, the CMC President may recommend to the CMC Board the appointment of a Review Team Chair. If the need for external review from outside the Group or entity (e.g. Adventure Travel) which scheduled the trip is not considered necessary, then the Group or other entity can initiate and conduct the review and provide a report to the CMC Safety and Leadership Chair.
- The CMC Legal and Risk Management Committee serves in an advisory role to any review.
- The Review Team should consist of the minimum number practical. The goal is to avoid a large committee which could lead to a long time line to complete the review.
- Individuals shall be selected for the Review Team based on direct experience with the type of trip. At least one individual and preferably two shall have direct experience with the type of trip and terrain where the accident occurred if possible. Individuals shall be selected who are independent of the trip and leaders and free of any conflict-of-interest.

Ground Rules

- Information shared with the committee will be confidential and not publicly disclosed unless arrangements have been made to provide for such disclosure. Such information may be shared with the CMC Board in Executive Session if required.

Steps in review

- The Review Team Leader should communicate to team members on process and expectations. It is recommended that e-mail and—if need be—teleconferences be used to minimize the need for physical meetings and travel.
- If environmental factors are part of the cause, either send at least one review team members to the site as soon as possible, or if not practical seek alternate ways to get information on the site. Photos and reports by other authorities should be looked to.
- Interview and collect statements from participants. Not every participant needs to be interviewed but any fact in dispute should be checked.
- Each team member writes findings.
- Team leader incorporates findings into a draft report for review by team.
- Team finalizes draft report including recommendations for action.
- Final report is submitted to the Group Safety and Leadership Chair and to the CMC Safety and Leadership Chair and to other designated persons as required. A

Denver Group Safety and Leadership Committee – Policies and Procedures

final report may be submitted to the CMC Board and President if Board action will be required. The final report shares findings and recommendations to help reduce risk of future accidents while protecting the privacy of individuals.

Denver Group CMC Incident Investigation Policies

Purpose

The purpose of any investigation is:

- To determine what happened, i.e. the facts,
- To provide an opportunity for all involved to express their views on the matter,
- To educate rather than to punish,
- To resolve the matter expeditiously,
- To reach a fair and just resolution of the matter,
- To retain appropriate confidentiality,
- To communicate appropriately with those involved in the incident.

It is important to have a process to conduct the investigation that gives legitimacy to the investigation. *Overriding all of these concerns is the safety of CMC members.*

Pertinent Documents

See CMC State Board Manual Constitution and Operating Policies, State Leader Manual, and CMC Serious Incident Review Process in Appendix.

Grounds for Investigation

Grounds for investigation include:

- Physical injury or illness requiring medical care for a member on a trip or on a field day or otherwise
- Offensive actions of a leader or member used against a member
- Other serious inappropriate conduct of a member

Initiation of Investigation

Any CMC Denver leader or may submit a written complaint to DS&L. The person complaining (Complainant) shall identify himself/herself but should be granted anonymity if requested. The subject of the complaint shall be referred to as the Respondent. If possible, the complaint shall identify any witnesses by name. Statements of witnesses may be submitted by the Complainant and/or Respondent.

If the matter arises from a School-related activity, the matter shall first be referred to the School Director to investigate and review. If the School Director believes the matter should be handled by the School, it shall initially be handled by the School. The School Director, however, shall notify DS&L in writing of the incident and of the outcome.

Alternatively, the School Director may request that DS&L handle the matter.

Denver Group Safety and Leadership Committee – Policies and Procedures

The Safety Director shall review the incident and determine if it merits investigation within 3 days of receipt of the complaint. If the incident merits an investigation a decision shall be made whether the incident is routine or serious.

If the incident is deemed not to merit an investigation an explanation for the decision not to investigate further shall be provided in writing to the Complainant within five days of the decision.

If the complaint warrants further investigation, then the Safety Director shall determine if a routine or serious incident investigation is appropriate. If appropriate, the Safety Director may recommend the Respondent or Complainant be temporarily suspended from leading CMC Denver trips or acting as an instructor in CMC Denver Schools, or the participating in CMC Denver trips or schools.

- If leader or member is cleared from temporary suspension, DS&L will reinstate him/her to full leader or member status and notify Denver Group Council Chair and State Safety and Leadership Chair of such action.
- If leader is found deficient, DS&L may require educational or other activities before reinstatement or, may permanently suspend him/her from leading Denver trips. DS&L will notify the Denver Group Council Chair who will notify all Groups and the State Safety & leadership Chair of any permanent leader suspension within CMC Denver.
- If a member is found deficient, DS&L may suggest educational or other activities before reinstatement or may recommend permanent suspension of the member to the DGC Chair who will take up the matter with the Council members. If the member is permanently suspended from CMC Denver, the DGC Chair will communicate with the CEO and Membership Services. Note: DS&L and the DGC only have jurisdiction over CMC Denver members.
- If the nature of the incident is such that there was a fatality or serious injury or that other group members may have been in danger, then DS&L and the School Director shall notify the Denver Group Chair, and the CEO. DS&L may recommend the Respondent member be temporarily suspended from being a leader/instructor, from membership or from participating in trips or schools.
- The CEO shall decide if the matter is to be handled at the State level or the CMC Denver level. If it is decided that the matter shall be handled at the CMC Denver level, the DS&L Committee shall decide if there is to be a temporary suspension. Notification of the temporary suspension pending investigation shall be provided to the member, the DGC Chair, the State Council Chair and Membership Services by the DS&L Chair.

Routine Investigation

In a routine investigation, the Director of Safety or Review Team shall contact the Complainant and Respondent for their statements. Witnesses shall be contacted as deemed appropriate by the investigators. If certain facts are in dispute, this is a factor to be taken into consideration in determining the number of witnesses to be contacted and interviewed. A report and recommendations shall be prepared for presentation at the next routinely scheduled DS&L meeting. The investigator will notify the parties of DS&L's determination concerning the incident.

Serious Incident Investigation

The Safety Director shall assign a Review Team as appropriate for the incident. The investigators need not be members of the DS&L and may include CMC Denver members with technical climbing backgrounds if appropriate. DSS&L shall specify a date by which the Review Team is to report to the committee with a preliminary report being targeted within 2 to 3 weeks and a goal of a full report with recommendations within 45 days of the assignment.

- **Establishment of the Review Team**

See CMC Serious Incident Review Process. Criteria for selecting Review Team members include: technical background related to the incident, prior Review Team experience, and an absence of conflict of interest, involvement in the incident, or a close association with the Complainant, Respondent, or other participants involved in the incident.

- **Review Process**

See CMC Serious Incident Review Process, Ground Rules and Steps in Review.

Report

The written report shall cover the following topics:

- f. **Incident:** Identify the Complainant and Respondent. Set forth a brief description of the accident/incident from the point of the view of the Complainant and the Respondent.
- g. **Investigation:** Set forth what was done to investigate the complaint, such as who conducted the investigation, who was interviewed and submitted statements.
- h. **Findings:** Set forth the critical factual findings, reporting what the investigation concluded as to what happened. The evidence supporting the findings does not have to be reported, only the findings themselves.
- i. **Conclusions:** Set forth a discussion of what CMC standards or rules were involved and whether any were violated.
- j. **Recommendations:** Set forth what actions are recommended. Aggravating or mitigating factors should be considered when determining recommendations. Such factors include seriousness of conduct and/or injury, if any injury; presence or absence of prior upheld complaints against the Respondent; Respondent's contribution and service to the CMC; and Respondent's recognition of his/her misstep, if any was found.

Denver Group Safety and Leadership Committee – Policies and Procedures

The Review Team report shall be submitted to S&L for review at the next S&L committee meeting. S&L may agree with or modify the report and shall issue its own written statement either agreeing or modifying the report. After acceptance by the S&L or DGC, the Respondent and Complainant shall be provided with a summary of the written report by mail, fax, or e-mail. If a response is required, the Respondent or Complainant has 10 business days to reply to the recommendations in the report and/or to request an appeal if deemed appropriate.

- **Timelines**

7. Within 10 business days of complaint, appoint Review Team
8. Within 5 business days of appointment, request response from Respondent and begin interviews of Complainant and witnesses.
9. Respondent must reply within 10 business days.
10. Within 5 business days of Respondent's reply, determine whether additional investigation is required and conduct if needed.
11. Within 10 business days of Respondent's reply or of further investigation compile findings and draft a report.
12. Within 5 business days of the compilation, finalize and submit report.

- **Actions**

Actions which may be taken by the DS&L include the following:

- Dismiss the complaint as without merit.
- Advise the Complainant of the policies that support the Respondent's actions.
- Take corrective action advising the Respondent that he/she acted inappropriately and advising as to what the appropriate conduct would have been.
- Take educational action advising Respondent that he/she acted inappropriately and requiring Respondent to attend Trip Leader School or some other school or seminar.
- Suspend respondent as a leader, member or participant in a school
- Other appropriate action

In determining what action is appropriate, aggravating and mitigating factors should be considered. Aggravating factors include seriousness of the situation/injury and prior sustained complaints. Mitigating factors include prior contributions and service of the Respondent to the Denver Group and CMC and absence of prior sustained complaints.

- **Appeal**

If either the Complainant or the Respondent strongly disagrees with the report and/or final statement of DS&L, then an appeal can be made to Denver Group Council. The appeal shall be made in writing to DGC within 10 business days of being sent the written notification summary. The appeal shall specifically state the reasons for the appeal. The DGC shall consider the appeal at the next Council meeting, if time is available, or at the next subsequent meeting. At its discretion, the DGC may provide an opportunity for the appealing party and the non-

Denver Group Safety and Leadership Committee – Policies and Procedures

appealing party to be heard. The DGC may accept or modify the findings of the Review Team and S&L and may accept or modify the recommended actions.

(Finalized February 6, 2009) (Updated 2/2014)

CMC State Alcohol Policy See CMC Board Manual

<http://www.cmc.org/Portals/0/GoverningDocs/cmc%20board%20manual%20Apr%202013.pdf>

Anti-Harassment/Non-Discrimination

See CMC Board Manual <http://www.cmc.org/Portals/0/GoverningDocs/Anti-Harassment%20Policy.pdf>

Also summarized at http://www.cmc.org/members/members_suggestions.aspx.

The Colorado Mountain Club does not discriminate in accepting individuals or families

Guidelines for Routine Upgrades in CMC Denver Leader Status

For CMC office staff

(Updated 2/2014)

Upgrade to Lead Winter Trips

- Receive a list of graduates from the school directorate at the completion of ATA and/or AIARE Level 1.
- Check each graduate's personal data profile in the database to determine if he or she is a current Denver Group trip leader.
- If a graduate is a trip leader, then he/she has completed the requirements to lead winter trips or winter backcountry trips:
 - Change the season to "Both" on each trip type already listed as approved
 - Add trip type of Snowshoe and Winter season.
 - Note: If a leader contacts the office and requests to lead winter trips or winter backcountry trips, staff may upgrade the leader's status according to the above guidelines after the leader documents he/she has completed ATA within the last three years or AIARE Level 1 within the last five years. Membership Services should check the data administration base to learn if the member has completed ATA or AIARE. If the information is not available through the cmc.org database, then the member will need to contact the school director who was in place at the time the seminar/school was completed to request confirmation of completion of the school/seminar.
- Note: Nordic Center or Downhill Ski trips do NOT require ATA or AIARE Level 1. The only requirement is certification as a leader by DS&L.

Check with DS&L if you have any questions.

Colorado Mountain Club Board Manual

The CMC State Board Manual includes the CMC Constitution and Operating Policies.

See January 2010 version on the Governing Documents page at

<http://www.cmc.org/Portals/0/GoverningDocs/cmc%20board%20manual%20Apr%202013.pdf>

CMC Policies Related to Trips

See pages 25 and 30:

<http://www.cmc.org/Portals/0/GoverningDocs/cmc%20board%20manual%20Apr%202013.pdf>

CMC State & CMC Denver Policies Related to Canine Trips

The State CMC Board Manual/Operations states that dogs are not permitted on most CMC hikes except when listed in the Activity Schedule as a “Doggie Hike.” (Passed October 2002).

The CMC Denver Council requires an additional description in the Activity Schedule of a doggie hike indicating the description include when a dog will be off leash during travel (prior to, after and during the hike). All leaders and participants in doggie hikes are expected to follow leash regulations posted by the USFS, State or National Parks, BLM and Wilderness Areas.

CMC Code of Conduct

See the Group Resources page at

<http://www.cmc.org/Portals/0/GoverningDocs/Code%20of%20Conduct.pdf>

CMC Trip Leader Manual

<http://www.hikingdenver.net/wp-content/uploads/2010/12/trip-leader-manual.pdf>