

COMPLAINTS POLICY

1 Objective

The objective of this policy is to enable Complaints to be resolved in a manner that is resident appropriate, objective, fair, quick and cost effective for the resident ("you") and Parkwood Retirement Village ("we" or "us") through a complaints facility.

We strive to deliver a high standard of service at the Village. A commitment to continuous improvement means that we acknowledge all Complaints and ensure that, whilst Complaints are being resolved, every complainant is treated with dignity and respect.

Some of the words in this policy are defined terms and the definitions are set out in part 11.

2 Scope

This policy covers all Complaints raised by a resident concerning us, our staff, the Village, another resident or any other matter that the resident wants to raise.

An outline of the complaints procedures is set out in a flow chart in Schedule 1.

3 Residents' rights

- All residents have the right to raise Complaints and receive a response within a reasonable time. *(Right 4 – Code of Residents' Rights)*
- All residents have the right to a speedy and efficient process for resolving disputes they have with us or with other residents. *(Right 5 – Code of Residents' Rights)*
- All residents have the right to have a support person represent them in their dealings with us or other residents. *(Right 6 – Code of Residents' Rights)*
- All residents have the right to be treated with courtesy and respect. *(Right 7 – Code of Residents' Rights)*
- When raising a Complaint, we will treat you with courtesy and respect. We will not treat you differently from any other resident on the basis of you having made a Complaint.
- Nothing in this policy limits your right to contact the Statutory Supervisor, Retirement Commissioner, Registrar of Retirement Villages or any other person at any time as an alternative or in addition to making a Formal Complaint, or regarding any alleged breach of the Code of Residents' Rights. You may exercise this right by contacting the Statutory Supervisor, Registrar of Retirement Villages or Retirement Commissioner directly using the contact details provided in Schedule 2.

4 Issues or concerns

It is important that you can at any time informally raise with us any issues or concerns that you may have. You are encouraged, but not required, to raise any issues or concerns informally with us prior to making a Formal Complaint. All issues and concerns will be dealt with in accordance with our Issues and Concerns Procedure set out in part 5 of this policy. If you are dissatisfied with the response to your issue or concern, you may at any time raise your issue or concern as a Formal Complaint in accordance with the procedure set out in part 8 of this policy.

Issues or concerns raised anonymously cannot be dealt with in accordance with the policy set out in part 5. However, we will endeavour to investigate, consider or resolve any issue or concern anonymously brought to the attention of the General Manager. If the issue or concern results in a change to any policy or practice at the Village which would ordinarily be notified, then all residents will be notified of this outcome.

5 Issues and concerns procedure

An issue or concern may be raised at any time with Parkwood Retirement Village or the General Manager. The General Manager's contact details are set out in Schedule 2. Issues or concerns can be raised in writing or verbally, there is no prescribed form. If the issue or concern is made verbally, the General Manager will record it in writing as soon as practical.

Where you have raised an issue or concern we will acknowledge this to you in writing within five Working Days.

We will respond to your issue or concern within a reasonable time. If we are unable to give you a response within 20 Working Days of the date you raised the issue as a concern, the General Manager will contact you and explain what progress has been made and when a final response might be expected. Once the General Manager has completed his investigation of the issue or concern he will provide written advice of the outcome to you.

If you are not satisfied with our response or the progress towards resolution you may choose to raise a Formal Complaint.

6 Formal Complaints

You have the right to make a Formal Complaint about us, our staff, the Village, other residents or any other matter. Before commencing the Formal Complaints Resolution Procedure you may wish to:

- raise the matter as an issue or concern as set out in parts 4 and 5.
- talk to the Statutory Supervisor, Registrar of Retirement Villages and/or the Retirement Commissioner about wishing to make a Formal Complaint. Contact details for these organisations are set out in Schedule 2.
- as an alternative or in addition to making a Formal Complaint, contact the Statutory Supervisor if your complaint is about a breach of the Code of Residents' Rights.
- request that the Residents' Association call a meeting with us and/or the Statutory Supervisor.

7 How to Make a Formal Complaint

Formal Complaints must be given to Parkwood Retirement Village or the General Manager. A Formal Complaint must be in writing, signed and dated by you. We encourage you to use the attached Formal Complaint Form (Schedule 3). Copies of the form are available from the Trust Office, the Village Care Office, your compendium or on request.

If you are not able to write the Complaint, your personal representative or a support person you have authorised in writing may write the Complaint for you.

If you are not able to write the Complaint and you do not have a person to assist you in writing the Complaint, the General Manager will at your request record your Complaint in writing based on what you tell the General Manager at the time. The General Manager will read the Complaint back to you to confirm it is recorded correctly and will provide you with a copy before taking any further action.

A register is kept of all Formal Complaints and information including the number, type and outcome of Formal Complaints is reported to the Retirement Commissioner every six months. None of your personal information will be disclosed without your consent unless required by law.

8 Formal Complaints Resolution Procedure

We will acknowledge in writing every Formal Complaint within five Working Days of receiving it. This acknowledgement will include the process and timeframe for resolving the Formal Complaint. We will endeavour to resolve the Formal Complaint within 20 Working Days from the date we receive the Formal Complaint and will regularly inform you of progress.

We will work with you directly to resolve the Formal Complaint to your satisfaction. If we are unable to resolve the Formal Complaint within 20 Working Days, the General Manager will advise you of the progress of the Formal Complaint and the reason for the delay. We will continue to regularly inform you about the progress of the Formal Complaint.

If any proposed action by us is the subject of the Formal Complaint, we will advise you whether or not we will suspend taking that action until the Formal Complaint is resolved. We will only proceed with a proposed action if we have consulted with the Statutory Supervisor and have decided that it is in the best interests of the Village as a community to proceed with the proposed action while the Formal Complaint is being resolved.

8.1 Statutory Supervisor

If the Formal Complaint has not been resolved within 20 Working Days of being received by us, we will refer the Formal Complaint to the Statutory Supervisor and ask that the Statutory Supervisor work with the parties to provide an impartial perspective and recommend a way forward. We will advise you once we refer the matter to the Statutory Supervisor.

8.2 Mediation

If the Formal Complaint has not been resolved within 20 Working Days after being referred to the Statutory Supervisor, we will offer you the option of mediation with an independent mediator. The mediator must be either a member of an alternative dispute resolution agency that is approved by the Retirement Commissioner and listed on the Retirement Commissioner's website or alternatively the parties have the option to agree on another independent third party.

We will suggest one or more independent mediators to you. If the parties agree on a mediator we will refer the Formal Complaint to that person. If the parties cannot agree on a mediator within five Working Days we will ask the Retirement Commissioner to select one who we will engage.

Each party is responsible for their own costs in preparing for mediation. If the Formal Complaint is about us or our staff we will pay the mediator's costs. If the Formal Complaint is between residents the mediator's costs will be divided evenly between each party and us.

8.3 Unresolved Formal Complaints

The above process does not prevent you from issuing a dispute notice at any time after 20 Working Days of your Formal Complaint being received by us. Your right to issue a dispute notice is subject to the terms set out in the Retirement Villages Act 2003. A summary of the requirements and procedure for issuing a dispute notice are set out in part 9.

If your Formal Complaint has not been resolved through the mediation process you may be able to issue a dispute notice.

8.4 Recording Resolution of Formal Complaints

If the Formal Complaint is resolved by agreement or following referral to the Statutory Supervisor or during mediation we will:

- Record the resolution in writing;
- State what actions, if any, will be taken, who is responsible for taking that action and the timeframe for the action to be completed;
- Set out the terms of any agreement about costs and any other terms;
- Arrange for the resolution to be signed and dated by all parties; and
- Provide a copy to all parties.

9 Disputes Panel

We encourage all residents to take advantage of all steps set out in the Formal Complaint Resolution Procedure prior to giving a dispute notice. However, nothing in this policy limits your right to give a dispute notice at any time permitted by the Retirement Villages Act 2003 or the right of the parties to agree to mediation at any time during a dispute panel process.

Where you have an unresolved Formal Complaint you may be able to give a dispute notice at any time between 20 Working Days and six months after the date the Formal Complaint was received (or such later time by agreement of all parties).

Not all Formal Complaints are able to be referred to a disputes panel for resolution. You may give a dispute notice for a Formal Complaint which relates to any of the following:

- a decision by us which affects your occupation or access to services or facilities.
- a decision by us to change the charges you pay under your occupation right agreement for outgoings, services or facilities.
- the charges or deductions made when you leave the Village.
- an allegation that we have breached the Code of Residents' Rights or Code of Practice.
- a dispute between you and another resident or guest of another resident that affects your occupation right.

You may not give a dispute notice in relation to any health and disability services or facilities we are providing you. If you are dissatisfied with our response to a Formal Complaint relating to health or disability services, you may take your Complaint to the Health and Disability Commissioner or a Health and Disability Advocate. We will advise you if this option is available in relation to your Complaint.

If a complaint relates to an alleged breach of your occupation right agreement or the Code of Practice in disposing of a unit formerly occupied by a resident, you may be able to give a dispute notice at any time following nine months after the unit has

become available for disposal and, if you wish, need not go through the Formal Complaint Resolution Procedure.

You may raise a dispute by giving a dispute notice to us. A dispute notice must:

- be in writing;
- identify the decision or decisions, or matters, in respect of which it is made;
- identify the person or persons in respect of whom it is made, if not us;
- state the grounds on which it is made; and
- state the efforts that have been made to resolve the dispute.

We will appoint a disputes panel within 20 Working Days after the date the notice is given to us. We will consult you before appointing the disputes panel. All members of the disputes panel will be selected from those named on the Retirement Commissioner's list of disputes panellists.

We will notify the Statutory Supervisor of a dispute notice if we consider the outcome of the dispute may affect:

- a significant number of the Village residents;
- the general operation of the Village;
- our rights and obligations under the Deed of Supervision; or
- a dispute notice that relates to disposal of a former resident's unit.

If the disputes panel considers that it needs more information about the issues of the dispute, it can ask the party who issued the dispute notice to provide this in writing and within a specified time. The other party may reply, or be required by the dispute panel to reply, to the dispute notice.

Before the hearing, the disputes panel will consult with all of the dispute parties on the most appropriate procedure for resolving the dispute. It will ensure that each party has the opportunity to comment on any view or any matter given by the other party during the consultation time. The panel will then set an agreed time and place for the hearing. As a general rule all hearings are to be public with the proceedings and decision published. However, the panel may decide whether any part of the hearing will be heard in private or not published.

The disputes panel may decide that a dispute should be heard by a court of law instead and refer it to the nearest District Court. A disputes panel can also refuse to hear a dispute if it considers it to be frivolous or vexatious or an abuse of process.

At a disputes panel hearing all parties can give evidence, cross-examine and re-examine witnesses. The disputes panel can amend an occupation right agreement, order compliance with an occupation right agreement or the Code of Practice, or order payment or refund of an amount in dispute.

When a decision has been made, the disputes panel must record its findings in writing and give each party, the Village and the Retirement Commissioner a copy. The decision is binding on all parties.

In the ordinary course we will pay the costs of the dispute panel whether we are a party to the complaint or not. However, the disputes panel can also make an award of costs and expenses. This might require a party to the dispute to pay all or some of the costs of the disputes panel and/or the other party.

Please note: This is an overview of the process only – for full details please consult Part 4 of the Retirement Villages Act 2003 and the Retirement Villages (Disputes Panel) Regulations 2006.

10 Complaint to the Retirement Villages Association (“RVA”)

The New Zealand Retirement Villages Association has a complaints process in place for complaints being made against operators.

This process can be employed in addition to the complaints facility described above. Should you choose to refer your complaint to the RVA, the time period in any of the above processes is not affected or suspended.

10.1 Making a complaint to the RVA

Complaints being referred to the RVA must be made in writing and must clearly set out the following details:

- The name of the complainant;
- The name of the operator; and
- The nature of the complaint including as many relevant details as possible, such as dates, names of parties and locations.

The complaint should be addressed to the Executive Director of the RVA, and sent to the RVA, whose contact information is set out in Schedule 2.

10.2 The complaints process followed by the RVA

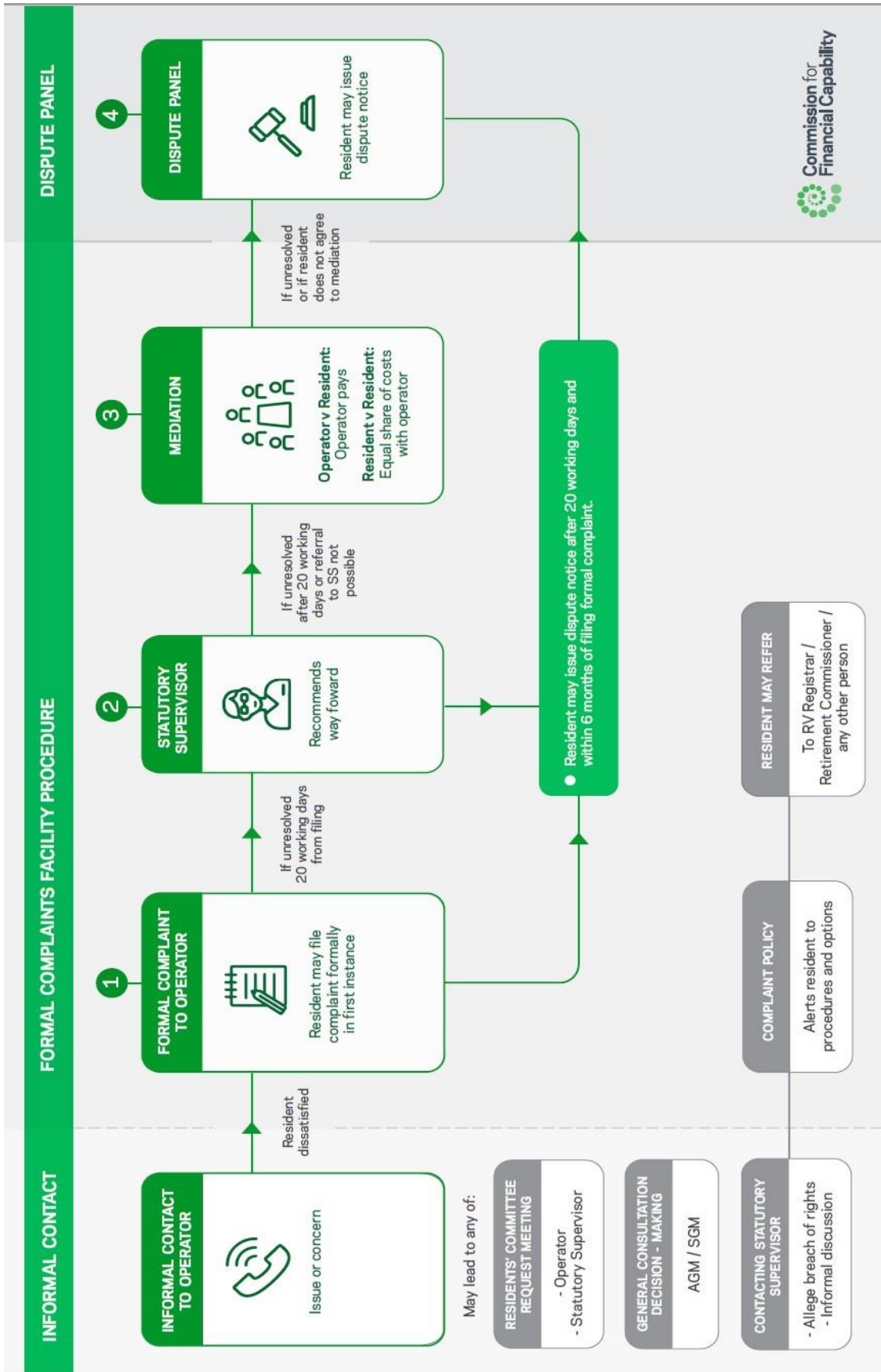
The RVA will acknowledge the complaint within five working days of receiving it and send you a copy of their complaints policy that fully sets out the complaints process they will follow.

11 Definitions

- **“Code of Practice”** means the Code of Practice approved by the Minister under section 89 of the Retirement Villages Act as updated, amended or replaced from time to time.
- **“Complaint”** includes any issue or concern or Formal Complaint.
- **“Formal Complaint”** means a written complaint made by a resident or former resident in accordance with part 7 of this policy relating to us, our staff, the Village, another resident or any other matter that the resident wants to raise.
- **“former resident”** means a person who was a resident of the Village, or a representative of that former resident, and whose occupation right agreement has since terminated.
- **“resident”** means any of the following:
 - (a) a person who has entered into an occupation right agreement with us in relation to the Village;
 - (b) a person who under an occupation right agreement is, for the time being, entitled to occupy a residential unit within the Village, whether or not the agreement is made with that person or some other person; or
 - (c) if the occupation right agreement provides, or with our consent, the spouse, civil union partner or de facto partner of the person referred to in paragraph (b) who is occupying the residential unit with that person, or after that person’s death or departure from the Village.
- **“Village”** means the retirement village known as Parkwood Retirement Village and operated by us.
- **“Working Day”** has the same meaning as set out in the Code of Practice.

SCHEDULE 1

Complaints Procedure



SCHEDULE 2

Contact Information

Operator's contact person for complaints – General Manager

Name: Stephen Lyons
Office hours: 9am to 5pm Monday to Friday
Phone: 04 293 5142
Email: s.lyons@parkwoodvillage.co.nz

Residents' Association – Chairperson

Name: Martin Denley
Phone: 027 664 4978
Email: pwchair@pwres.nz

Statutory Supervisor

Name: Trustees Executors Ltd
Phone: 09 308 7135
Email: stuart.howard@trustees.co.nz
Address: PO Box 4197, Shortland Street, Auckland 1140

Registrar of Retirement Villages

Free Phone: 0800 268 269
Postal Address: Private Bag 92061, Victoria Street West, Auckland 1142
Website: www.retirementvillages.govt.nz

Retirement Commissioner

Phone: 09 356 0052
Email: office@cffc.org.nz
Address: Level 3
108 Quay Street
Auckland 1010
Postal Address: PO Box 106056, Auckland City 1143

Retirement Villages Association

Phone: 04 499 7090
Email: info@retirementvillages.org.nz
Address: Level 11, Petherick Tower
38-42 Waring Taylor Street
Wellington 6011
Postal Address: PO Box 25022, Panama Street, Wellington 6146

Agencies which may offer Advocacy Services:

Age Concern

Phone: 04 801 9338
Fax: 04 801 9336
Email: national.office@ageconcern.org.nz
Address: National Office
Level 3, Freemason House
195-201 Willis Street
Te Aro
Wellington 6011
Website: www.ageconcern.org.nz follow links – New Zealand

Citizens Advice Bureau

Free Phone: 0800 367 222
Fax: 04 382 8647
Email: admin@cab.org.nz
Address: National Office
Level 7
75 Ghuznee Street
Wellington 6011
Postal Address: PO Box 9777, Marion Square, Wellington 6141
Website: www.cab.org.nz

Advocacy Network Services

Phone: 04 237 0418
Address: 1 Knights Road
Lower Hutt 5010

If the complaint concerns health or disability services we are providing you may also contact the following:

Health and Disability Advocacy

Free Phone: 0800 555 050
Email: advocacy@hdc.org.nz

Health and Disability Commissioner

Free Phone: 0800 112 233
Fax: 09 373 1061
Email: hdc@hdc.org.nz
Postal Address: PO Box 1791, Shortland Street, Auckland 1140
Website: www.hdc.org.nz

SCHEDULE 3

Formal Complaint Form

If you wish to make a formal complaint, please use the form below.

If you wish to raise an issue or concern informally, please contact Stephen Lyons or Debbie Lutz.

If you require assistance with completing this form and you do not have a family member, friend or other personal representative available to assist you, please contact Stephen Lyons or Debbie Lutz.

NAME OF COMPLAINANT: _____

UNIT ADDRESS: _____

DESCRIPTION OF COMPLAINT:

(please provide as much relevant information here as possible, including a date or dates if relevant)

If you are complaining about a person, who are you complaining about?

NAME: _____

SIGNED: _____ DATE: _____

If a complainant is being assisted in completing the form by a personal representative, then the complainant or the personal representative may sign above.

We will provide you with a written acknowledgement of receipt of this complaint within five working days of receiving it. The acknowledgement will tell you the process we will follow in resolving the complaint.

We will endeavour to resolve the complaint within 20 working days from the date we receive it.

We will keep you informed of any progress made towards resolving your complaint.