



COMPLAINTS POLICY

(For Residents under an Occupation Right Agreement)

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 Highgrove Retirement Village ("we" or "us").

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 the Definitions section of this policy.

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.

Highgrove Retirement Village operates a three level complaints process that is designed to be both accessible and responsive for our residents while at the same time meeting our statutory obligations.

An outline of the complaints process is set out in a flowchart in Schedule One.

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 Two.

LEVEL ONE – RAISE AN ISSUE OR CONCERN

(a) 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 below. 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 under Level Two below.

Issues or concerns raised anonymously cannot be dealt with in accordance with the Issues and Concerns Procedure. However, we will endeavour to investigate, consider or resolve anonymous issues or concerns. 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.

(b) Issues and Concerns Procedure

An issue or concern may be raised at any time with Highgrove Retirement Village or the Village Manager. The Village Manager's contact details are set out in Schedule Two. Issues or concerns can be raised in writing or verbally, there is no prescribed form.

Where you have raised an issue or concern we will acknowledge this to you in writing within 5 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 Village Manager will contact you and explain what progress has been made and when a final response might be expected. Once the Village Manager has completed their investigation of the issue or concern they 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.

LEVEL TWO – MAKE A FORMAL COMPLAINT

(a) Formal Complaints

Before commencing the Formal Complaints Resolution Procedure you may wish to:

- Raise the matter as an issue or concern as set out above under Level One;
- 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 Two.
- 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' committee (if there is one) call a meeting with us and/or the Statutory Supervisor.

Formal Complaints must be given to Highgrove Retirement Village or the Village Manager. A Formal Complaint must be in writing, signed and dated by you. 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, the Village Manager will at your request record your Complaint in writing based on what you tell the Village Manager at the time. The Village Manager will read the Complaint back to you to confirm it is recorded correctly and will provide you with a copy.

If at any stage the Formal Complaint is resolved 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.

A register is kept of all Formal Complaints and the number, nature and outcome of Formal Complaints is reported to the Retirement Commissioner every six months. Your personal information will not be disclosed without your consent unless required by law.

(b) Formal Complaints Resolution Procedure

Step 1: Acknowledgement

We will acknowledge in writing every Formal Complaint within 5 Working Days of receiving it.

Step 2: Working with the Resident

We will endeavor to resolve the Formal Complaint within 20 Working Days from the date we receive it 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 we will advise you of 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.

Step 3: 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.

Step 4: 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 which 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 5 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.

Step 5: Unresolved Formal Complaints

If your Formal Complaint has not been resolved through the mediation process you may be able to issue a dispute notice. The above process does not prevent you at any time after 20 Working Days of your Formal Complaint being received by us, from issuing a dispute notice.

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 under Level Three below.

LEVEL THREE – GIVE A DISPUTE NOTICE

(a) Disputes Panel

Where you have an unresolved Formal Complaint you may be able to give a dispute notice at any time between 20 Working Days and 6 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 which 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 9 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
- The dispute notice 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.

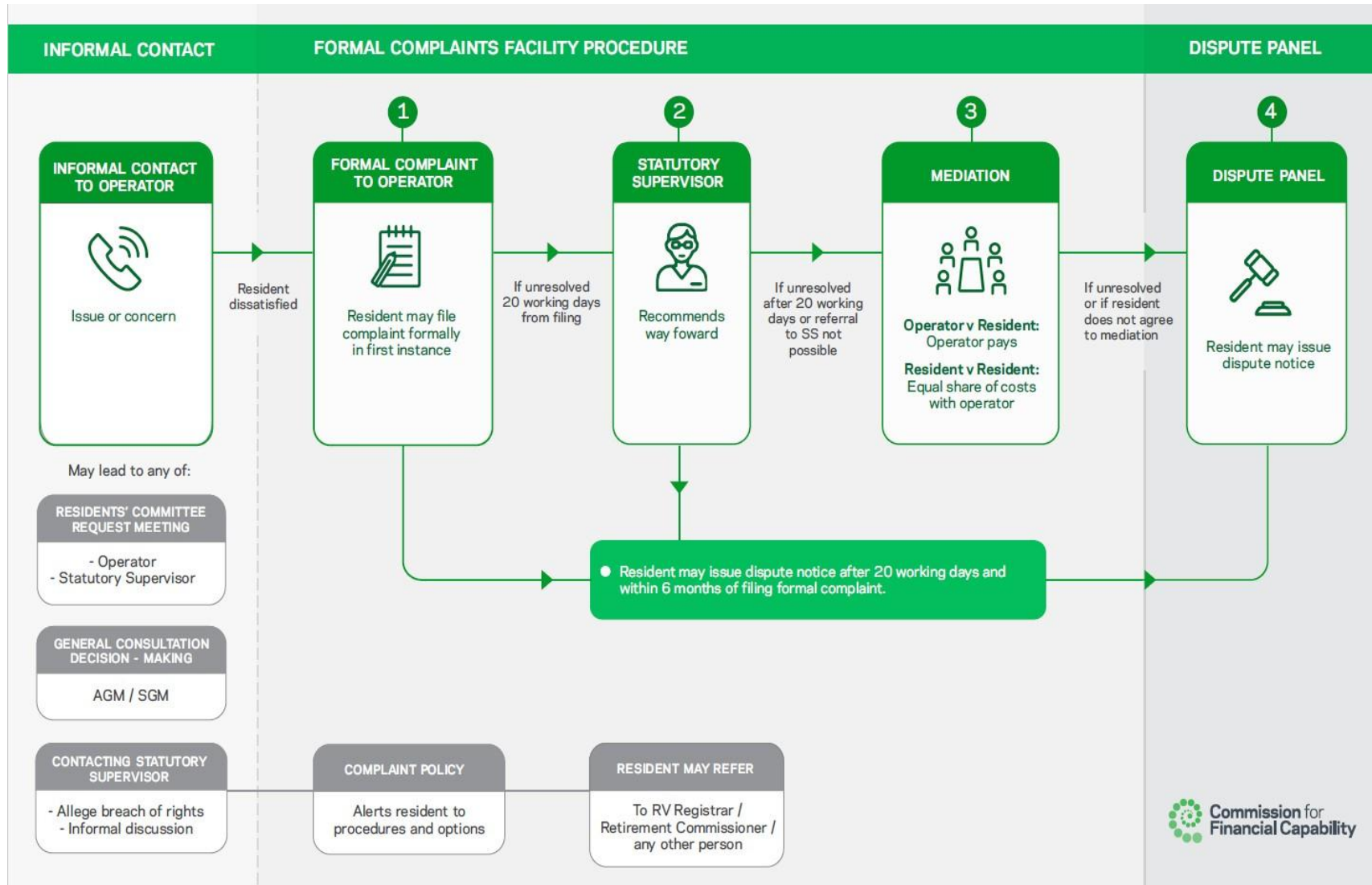
When a decision has been made, the disputes panel must record its findings in writing and give each party, the Village, and the Retirement Commissioner a copy. The decision is binding on all parties.

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 dispute panel and/or the other party.

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 Level Two of this policy relating to us, our staff, the Village, another resident or any other matter that the resident wants to raise.
- "**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 Highgrove Retirement Village and operated by us.
- "**Working Day**" has the same meaning as set out in the Code of Practice.

SCHEDULE ONE



SCHEDULE TWO

Contact Information

The Operator's Contact Person for Complaints is the Village Manager of the Village:

Name: Deborah Harris
 Office hours: 9:00am to 5:00pm
 Phone: (09) 444 6689
 Cell phone: 021 077 3114
 Email: villagemanager@highgrove.co.nz

Residents' Committee:

The Village does not currently have a Residents' Committee.

Statutory Supervisor:

Name: Covenant Trustee Services Limited (Contact: Mike Hablous)
 Phone: (09) 927 3883
 Email: mike@covenant.co.nz
 Address: Level 6, 191 Queen Street, Auckland 1010,

Registrar of Retirement Villages:

Phone: 0800 268 269 (Toll Free within New Zealand)
 Phone: (03) 962 2602
 Website: www.retirementvillages.govt.nz
 Address: Registrar of Retirement Villages
 Northern Business Centre
 Private Bag 92061
 Auckland Mail Centre
 Auckland 1142

Retirement Commissioner:

Phone: (09) 356 0052
 Address: Level 3
 108 Quay Street
 Auckland 1010
 Postal Address: PO Box 106-056
 Auckland City 1143
 Email: office@cffc.org.nz

Retirement Villages Association:

Phone: (04) 499-7090
 Address: Level 11
 Petherick Tower,
 38 - 42 Waring Taylor St
 Wellington 6011
 Postal Address: PO Box 25-022, Panama Street, Wellington 6146
 Email: info@retirementvillages.org.nz