



DAA Group  
Focus on Quality

**Kapiti Retirement Trust**

**Sevenoaks, Midland Gardens and Muriwai Court Villages**

Retirement Villages  
Code of Practice 2008  
Variations included April 2017

**15 February 2022**



## AUDIT DETAILS

<b>Client</b>		Kapiti Retirement Trust
<b>Address</b>		Lodge Drive, Paraparaumu, Kapiti Coast
<b>Postal Address</b>		
<b>Website Address</b>		<a href="https://www.retirekapiti.co.nz">https://www.retirekapiti.co.nz</a>
<b>Audit Scope</b>	<b>Standard</b>	Retirement Villages Code of Practice 2008 (with Variations April 2017)
	<b>Services Provided (included)</b>	Retirement Village
<b>Audit Team</b>		Chris Sanders
<b>Client Representatives</b>		David Blair, Support Services Group Manager

<b>Number of residential units subject to ORA or Unit Title</b>	207 Villas (across all three sites) and 43 Apartments at Sevenoaks
<b>Number of rental units</b>	0
<b>Total number of residents</b>	330
<b>Number of vacant units</b>	8 Villas and 4 Apartments

*Please advise the DAA Group office if any of the details are incorrect.*





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## Report context

The information contained in this report is based on the evidence made available to the auditor at the time of the audit. The information is based on conditions observed and information provided by facility staff during the period of time the auditor is on site. Due care and attention has been exercised to ensure the veracity and comprehensiveness of the information obtained by the auditor.

An audit is a snapshot in time; it is based on information available at that time using a valid sampling process. Because it is not possible to foresee all uses of the information, or to predict future events, any subsequent action in reliance on the information in this audit report is the sole decision of the user of the information and taken at their own risk. Any person using the information should seek their own legal advice for the purpose of interpretation and application of relevant laws.

The DAA Group provides audit services that are designed to determine whether the quality/risk management system of the client firstly complies with the relevant standards and secondly has been properly implemented and maintained. The DAA Group does not provide advice on compliance with any legislation or other laws. All audit reports and other documentation provided by the DAA Group are given in good faith and in reliance on the accuracy and completeness of the information provided by the client.

## Background

The DAA Group Limited (hereafter called the DAA Group) has been designated, under Section 32 of the Health and Disability Services (Safety) Act 2001 to audit healthcare services by the Director-General of Health.

The DAA Group is a limited liability company registered with the New Zealand Companies Office.

The company has been accredited to ISO 17021 and ISO 19011, and by ISQua to provide certification and accreditation to a range of healthcare services.

## Scope

The service has been assessed in relation to Retirement Villages Code of Practice 2008 (with Variations April 2017). This is referred to as 'the Code' in this report.

## Auditor

The auditor meets the competencies of ISO 19011, and follows the principles of auditing as outlined in ISO 19011 and as required by ISO 17021.



## Audit Methodology

A document review was completed prior to the onsite audit process, where applicable. The criteria were assessed using one or more of the following evaluation methods:

- Documentation / record review
- Interview with staff, management, clients, family members and others
- Visual inspection of environment
- Observation of staff practices

The audit was an independent, objective review of a representative sample of data, information and files. It also included a representative sample of knowledgeable facility staff, and an inspection of a representative sample of equipment, operations, activities, rooms, and locations at the audited facility.

The auditor has exercised due professional care in picking a valid representative sample; however it is always possible that some issue outside of the representative sample used by the auditor will hold a non-compliance issue that could be identified by another audit or review process.

NOTE: representative sampling is a time-honoured principle of auditing.

Findings have been determined and attainment levels allocated for each criterion of the standard:

**FA Fully Attained.**

The service can clearly demonstrate implementation (practice evidence, training, records, visual evidence etc.) of the process, systems or structures in order to meet the required outcome of the criterion.

**PA Partially Attained.**

- 1) There is evidence of appropriate process (policy/procedure/guidelines, etc.), system or structure implementation without the required documentation, or
- 2) A documented process (policy/procedure/guideline.), system or structure is evident but the organisation or service is unable to demonstrate implementation where this is required.

**UA Unattained.**

The organisation or service is unable to demonstrate appropriate processes, systems or structures to meet the required outcome of the criterion.



## Executive Summary

The Kapiti Retirement Trust operates villages on three sites in Paraparaumu, the Trust was established in 1958. Sevenoaks is the largest village and the main operations site. There are two satellite villages located near to the main site: Muriwai Court and Midland Gardens. Muriwai Court is the oldest village and consists of 14 duplexed villas. Midlands Gardens has 94 two-bedroom villas. Sevenoaks consists of 99 villas and 43 apartments (35 of these are one bedroom; two are two-bedroom and six are studios). The apartments are on the Sevenoaks site and surround two central courtyards. They are adjacent to the Lodge, which is an aged care facility providing specialised dementia and aged care services. The Lodge dementia, rest home and hospital care services were not included in this audit process.

The retirement village villas and apartments are all occupied by occupation right agreements (ORAs). Buildings are constructed of variable colour brick cladding, and all have pressed steel tile roofing and aluminium joinery. Newer dwellings are double glazed. Some of the older villas still have tiled floors in kitchens and bathrooms, otherwise these areas are covered in non-slip vinyl. Lounge and bedroom areas in all dwellings are fully carpeted. The villas have a full-sized kitchen with an oven, bench top elements, fan extractor, room for a refrigerator, and a dishwasher is installed according to the prospective occupant's preference. Apartments units have space for a refrigerator and microwave, and residents may request the use of a small electric hob. Gas heaters were initially installed in all villas; however, as the villas are being refurbished, these are being progressively replaced with heat pumps. There is underfloor heating in the apartment complex. Currently two of the studio apartments are in the process of being converted into a larger one-bedroom apartment.

One and two-bedroom villas all have separate laundry facilities. Whilst there are communal laundry facilities for the use of apartment residents, washing machines and dryers are being installed in the kitchen areas as refurbishments occur (though not in studio apartments). All villas in Midlands Gardens and Muriwai Court and all apartments at Sevenoaks have wired smoke alarms and nurse call installed. The operator is having wired smoke alarms installed in villas at Sevenoaks during refurbishment, while other smoke alarms are a mix of ten year or ordinary batteries. All are installed near bedrooms and are checked six-monthly to ensure they are in working order. An alarm call system is installed in all dwellings and units and there is a sprinkler system installed in the apartment buildings.

Dwellings at all three sites are set in landscaped gardens and grounds, with a variety of planting and mature trees. Kapiti Retirement Trust gardeners are responsible for the planting along the pathways and road and around the courtyards and grounds. Residents of the villas are responsible for the gardens immediately around their dwelling. There are garden allotments for growing fruit, herbs and vegetables at all sites. Several villas at Midlands Gardens have a two-car garage. Most other villas have a single garage attached. Rental garages are available at Sevenoaks and Muriwai Courts for people in villas without an attached garage. Additional visitor parking is available onsite at all three sites.

The Chief Executive Officer (CEO) of the Kapiti Retirement Trust is responsible for managing the sales and termination of ORAs, as well as complaints. The Support Services Group Manager provides operational oversight of the villages. Other staff include a wellness team, and the maintenance/gardening team who work across all sites. Office administration support staff are based in the care facility.



Transport to the supermarket and shops is available, using the facility van. Residents are able to join in with village activities, most of which are organised by the respective village social committees. Village designated 'community centres' are at both Sevenoaks and Midlands Gardens sites. Large lounge areas are available in the apartment building. Muriwai Court has a small single garage size room available for group meetings and activities. There is a swimming pool at Sevenoaks for the use of all village residents and access to a hairdresser, podiatrist, and beautician. Areas for recreational games such as petanque, croquet, and billiards are available across the village sites.

A group of five residents, which included representation from each site and from the apartments, were interviewed during the onsite audit. They reported their satisfaction with the way the village is run, and confirmed they feel safe and secure in their respective village. There is a close-circuit television (CCTV) overview of the community centre at Sevenoaks and Midlands Gardens. Entrances on all sites also have CCTV oversight. A contracted security company patrols the villages during the night. The residents interviewed reported that, while they value their independence, they are appreciative of the support they receive from staff members when needed. Residents interviewed particularly noted the information, assistance, and support given to them during the current COVID-19 pandemic.

The residents clearly understand their rights, and how to address any issues or concerns. They feel very comfortable going directly to the Support Services Group Manager, or the CEO, and stated that any issues or concerns are always dealt with promptly. The wellness team has a programme to contact all residents in the village on a regular basis, more often if there has been an adverse event within the household or village. This service is appreciated by the residents interviewed.

A village information folder is provided to new residents on entry to the village. Residents in each villa/apartment have information that includes a copy of the fire evacuation plan and all interviewed were clear on the process to get help in the case of an emergency. The village information folder also includes a copy of the Retirement Villages Code of Practice which includes information on the full complaints process, and a complaints flowchart, describing the process for addressing formal complaints.

There is an overarching villages' residents' association as well as a social committees at each site. The residents' association and the social committees take records of their own meetings and manage their own finances. The CEO attends resident association meetings by invitation. If any issues arise between meetings, residents consult the Support Services Group Manager or the CEO (as relevant), who resolves them to their satisfaction.

Annual General Meetings (AGMs) are organised within six months of the end of each financial year. These meet requirements and include a full report from the CEO, one from the statutory supervisor, a long-term maintenance plan with clear information about significant expenditure, and financial records.

Service fees are paid by direct debit or automatic payment. Other charges, such as for additional maintenance or gardening, are invoiced to the resident with payment made in their preferred manner. Residents reported the accounts for these additional charges are clear.



## **Auditor recommendations**

Kapiti Retirement Trust has policies and processes in place to meet the Retirement Villages Code of Practice 2008 (with Variations April 2017), which is referred to as 'the Code' in this report.

The auditor's recommendation is for three years certification.

## **Observations**

Village residents reported a very positive sense of community in the village. They maintain their independence, and many continue to drive and to access the local community in the usual way.

Residents interviewed reported that the CEO and Support Services Group Manager have an open-door policy and they are available to assist them should this be required. This is appreciated by the residents.

Activities are organised by social committees and there is plenty of scope within the different village programmes for residents to enjoy external and internal activities (COVID-19 dependent). The availability of the visiting hairdresser, beautician, and podiatrist was appreciated by residents.

There are good COVID-19 precautions being taken by the village to enable contact tracing should this be required. Residents particularly appreciated their interactions with the village staff and the wellness team around the uncertainties due to the COVID-19 pandemic.

The three villages of the Kapiti Retirement Trust are near to each other. The villages provide prospective residents with a range of accommodation choices. There are variations of older style villas, small and larger modern villas, and studio, one, and two-bedroom apartments. Established and well-used gardens and allotments are available at all village sites.

The villas and apartments are all well maintained and in very good condition. Refurbishments were sighted in three villas and one apartment; these have been completed to a high standard. Refurbishment takes into account the new residents' choices in décor and amenities.

Maintenance and gardening personnel are very responsive to request for service and the residents appreciate their efforts.





## Part 2: General Requirements

### Policies and Procedures, Notices and Induction Requirements

Policies And Procedures, Notices And Induction Requirements Criteria		Attainment (FA/PA/UA)
8	Policies and procedures	FA
9	Induction in this Code of Practice	FA
10	Notices to residents	FA
11	Operator's access to a resident's residential unit	FA

- All required policies and procedures are in place. These are being regularly reviewed and at the time of audit were current.
- A comprehensive introduction booklet is provided to each resident at the time of application and on entry to the village, along with a full disclosure statement. The RVA Summary of Key terms has been provided to intending residents before the ORA was signed and this was confirmed by the residents interviewed.
- There is a formal induction process for new residents and for staff. New residents are greeted by the Trust's management team (including the CEO, Support Services Manager, and the heads of the gardening and maintenance teams), the wellness team, and by representatives of the resident's association. There is also a formal induction process for new staff that includes an introduction to the Code of Practice; this is documented in staff records and confirmed by staff interviewed.
- Residents are given adequate notice if work needs to be done in their unit. They have the choice to allow or decline staff access into their dwellings if they are absent. The only exceptions are in emergencies and this exception is understood and appreciated by residents.



### Part 3: Minimum Requirements to Be Included In Any Occupation Right Agreement

#### Staffing Of Retirement Village

Staffing Of Retirement Village Criteria		Attainment (FA/PA/UA)
12	Staffing policies, processes and procedures	FA
13	Information about staff	FA
14	Staff qualifications and experience	FA
15	Staff supervision and ongoing training	FA

- There are sound recruitment and appointment processes for staff.
- Review of personnel files (three) confirmed the recruitment and appointment processes are implemented and that staff have relevant qualifications and experience.
- Except in one instance, all staff members who interact with village residents hold a first aid certificate. These were current.
- Staff wear identification badges. Residents are introduced to staff on entry to the village.
- There is supervision, both formal and informal, and training available for all staff.
- The CEO and Support Services Manager have completed the e-learning packages available via the Retirement Villages Association.

#### Safety and Personal Security of Residents

Safety And Personal Security Of Residents Criteria		Attainment (FA/PA/UA)
16	Safety and personal security policy	FA
17	Safety and personal security policies and procedures	FA
18	Personal security as a promotional feature in advertising	FA

- All relevant safety and security systems and procedures are in place. Residents reported they feel very safe in the village.
- Promotional material does not compromise the residents' safety.

#### Fire Protection and Emergency Management

Fire Protection And Emergency Management Criteria		Attainment (FA/PA/UA)
19	Fire protection and emergency management policy	FA
20	Protection of residential units and retirement village facilities from fire	FA
21	Plans, instructions and equipment for dealing with fire and other emergencies	FA
22	Insurance cover and repairs	FA
23	Access to residential units and retirement village facilities for people with disabilities (Also covers 45 – Alteration of residential units for residents with disabilities)	FA

- Fire protection and emergency management systems and procedures meet the requirements of the Code.



- All dwellings have working smoke alarms, some are wired and others battery operated. Smoke alarms are checked six-monthly, and records of the checks kept. There are sprinklers in the apartment complex.
- There is a fire and emergency response and evacuation plan in each dwelling. This was confirmed by residents interviewed who were also able to describe actions they would need to take in an emergency. Residents also run a 'telephone tree' network within each village as part of their neighbourhood support initiative.
- Effective equipment for fire-fighting is available in the villages and community centres should this be required.
- Residents are encouraged to have their own contents insurance and those interviewed understand their responsibilities regarding this.
- The operator's insurance policy for the village was sighted and the policy was current at the time of the audit (expiry date 31 December 2022).
- Fire protection and emergency management policies include a description of how it provides access for people with disabilities, and these are available to residents on request. Efforts have been made to ensure all villas and apartments are fully accessible and further work in this area is ongoing as dwellings are refurbished. There are currently no residents who require special assistance in an emergency.

#### Transferring Residents within a Retirement Village

Transferring Residents Within A Retirement Village Criteria		Attainment (FA/PA/UA)
24	Transfer requirements in the occupation right agreement	FA
25	Financial and other arrangements in a transfer	FA

- The ORA describes transfer requirements and describes the financial arrangements on transfer to a higher level of care. Transfers between villas is discouraged.
- There were 20 transfers from the villages to higher levels of care (into aged-care or apartments) in 2021. The files of three of the transfers confirm that transfer requirements were met by the Kapiti Retirement Trust.

#### Meetings of Residents with Operator and Resident Involvement

Meetings Of Residents With Operator And Resident Involvement Criteria		Attainment (FA/PA/UA)
26	Frequency of meetings	FA
27	Procedures applying to annual and special general meetings	FA
28	Residents' participation in decision-making	FA
29	Notifying residents of information about the retirement village	FA
30	Residents' committee	FA

- The annual general meeting for all three villages is held within six months of completion of the financial year. The 2021 meeting was held on 25 May 2021.
- No special general meetings have been requested by residents.
- There is a residents' association which meets monthly and maintains its own finances and records of discussions. Members are formally elected to the role. The CEO attends meetings by invitation.



- There are social committees at each of the villages. All residents can attend these meetings at their choice. The social committees manage their own finances and records of meetings.
- Residents interviewed reported that they are consulted on proposed changes and are involved in decision-making. Recent consultations relate to a Trust constitutional change, fee changes, and a proposed building extension to the care centre adjacent to the village.
- The CEO and support services manager both have open-door policies. They also communicate, when necessary, with formal letters and documents. These may include the AGM agenda, meeting minutes, financial accounts, and newsletters.

### Complaints Facility

Complaints Facility Criteria		Attainment (FA/PA/UA)
31	Residents may raise an issue or concern informally	FA
32	Procedure for making and acknowledging complaints by residents	FA
33	Informing resident of the progress of the complaint	FA
34	Procedures for resolving and deciding complaints	FA
35	Time limits for making and notifying the decision about the complaint	FA
36	Form of notification of the decision about the complaint	FA

- The CEO is responsible for complaints management. There have been no formal complaints raised by residents in the last 12 months. Four informal concerns have been raised in 2021 and these are documented through to resolution. The CEO reports that any concerns or issues are addressed quickly before they escalate. The concerns raised related to the proposed new building project (two) and one each about cupboards in a villa and a grounds issue.
- At interview, residents reported that they are easily able to resolve any concerns or complaints and that the management team members are available and responsive whenever needed.
- The operator has notified the Retirement Commissioner of the status of their complaints, the last reporting was in October 2021.
- All complaints have been dealt with following the operator's policy, which is consistent with the April 2017 variation to the Code of Practice.
- The complaints policies and procedures are clearly defined in the information provided to residents and includes the diagram from Code of Practice Variations April 2017. This was confirmed by the residents interviewed.

### Accounts

Accounts Criteria		Attainment (FA/PA/UA)
37	Frequency of accounts	FA
38	Breakdown of items	FA
39	Format of invoices	FA

- Service fees are mostly by direct debit, otherwise payment is made by automatic payment at the choice of the resident(s).
- An efficient invoicing system was evident. This is managed by the office staff.



- Residents have been made aware of any services that require additional payments and invoices clearly record the costs. Accounts are sent monthly, and the residents interviewed reported that the accounts are clear, and they understand them.

### Maintenance and Upgrading

Maintenance and Upgrading Criteria		Attainment (FA/PA/UA)
40	General obligations	FA
41	Minor repairs, maintenance, and emergency repairs	FA
42	Periodic review of maintenance agreements	FA
43	Funding for maintenance and periodic upgrading of retirement village property	FA
44	Construction standards for new retirement villages or units	FA
45	Alteration of residential units for residents with disabilities	FA

- The ORA document includes all requirements of the Code regarding repairs and maintenance.
- There is a simple process for residents to request any repairs, maintenance, or gardening assistance. There is a register of all requested jobs which records all actions taken and when they were completed. Requests are generally through email, telephone, or personally to the village or office staff.
- The operator has reviewed the maintenance requirements of the village. A copy of the long-term maintenance plan is provided to residents prior to the AGM.
- No further developments are currently planned for the village. There is a proposal to extend the care centre which will have some impact on a small number of residents. Consultation on the proposal has been in person from the CEO to affected residents, and through the residents' association.
- Most villas and all apartments are fully accessible. Handrails are installed and the facility will arrange for any modifications and install any additional equipment, should these be requested.

### Termination of an Occupation Right Agreement

Termination Of An Occupation Right Agreement Criteria		Attainment (FA/PA/UA)
46	Resident's right to terminate the occupation right agreement	FA
47	Grounds for termination if the unit is damaged or destroyed	FA
48	Grounds for termination by operator	FA
49	Operator's process for exercising the right to terminate the ORA	FA
50	Refurbishment costs and process	FA
51	Operator's responsibilities relating to the sale or disposal of a vacant residential unit following termination	FA
52	Rights of the former resident relating to sale or disposal of the vacant residential unit following termination	FA
53	Operator may buy residential unit	FA
54	Payments due to the resident on termination or end of occupation	FA

- The ORA includes all requirements of the Code for termination. These include the grounds for termination by the operator.



- The operator’s insurance policy includes provision to meet the October 2013 variation regarding ‘no fault damage or destruction to any unit’.
- The operator has not exercised their right to terminate any ORAs in the last 12 months.
- Twenty terminations, through transfers to a higher level of care (aged-care or into apartments) occurred in 2021. Review of the records of three terminations demonstrated that the required processes were followed.
- Refurbishment costs and process are set out in the ORA.
- Vacant villas and apartments have been refurbished on the termination of the previous resident or are in the process of being refurbished. Carpets and curtains have been replaced and the entire unit repainted. Appliances have been renewed as necessary and all work is to a high standard. Personal preferences of the incoming resident are taken into account during the refurbishment process.
- Kapiti Retirement Trust has followed their process for marketing and promoting the vacant unit and records of these activities are maintained. The CEO reported that there is a waiting list for new residents (sighted) and that they are rarely required to advertise vacancies beyond ‘word of mouth’ from current residents and the use of an ‘open home’.
- The appropriate process is being followed and the outgoing resident being kept well informed of the status of the resale process.

#### Communication with Residents

Communication with Residents Criteria		Attainment (FA/PA/UA)
55	Communication policies, systems and procedures	FA
56	Communicating with residents for whom English is a second language	FA
57	Communicating with residents with limited ability to communicate	FA

- Appropriate policies and procedures regarding communication with all residents are available.
- There are currently no residents for whom English is a second language.
- Alternative forms of communication are being used for residents with limited ability to communicate. These include people who are sight or hearing impaired. Provision is made for sight impaired residents by the use of a document magnifier. There are hearing loops in the community centres at Midland Gardens and Sevenoaks, and a microphone for meetings for residents with a hearing impairment.



## Corrective Action Request and Follow-up

Any criteria which are unattained or partially attained at the onsite audit must be fully attained before the audit report can be submitted to the Retirement Villages Association.

During this onsite audit all criteria were fully attained and no further follow-up was required.

## Appeals Process

The DAA Group follows a standard procedure for managing appeals relating to the certification and verification process.

This procedure includes within its scope appeals against decisions made by the DAA Group with respect to findings made during the audit.

Should you wish to appeal the outcome of your recent audit; the appeal will be managed in the following manner:

- A written appeal is to be provided to the DAA Group.
- The DAA Group will acknowledge receipt of your appeal in writing.
- Two independent auditors will review the relevant documentation and/or information within 15 working days of receipt of the appeal.
- Action will be taken based on the nature of the appeal.
- The outcome of the review will be notified in writing to you. Progress reports may also be made.
- All appeals and disputes will be reviewed by the Impartiality Committee to ensure due process has occurred.

## Disclaimer

The DAA Group expressly disclaims liability to any person who acts, or fails to act in reliance on any statement in this report. The DAA Group disclaims any liability whatsoever in respect of any losses or damages arising out of the use of this information, or in respect of any action in reliance on the information contained in the Certification audit report.

