



# LIFEMARK VILLAGE SCHEME RULES

A SIX-PILLAR QUALITY ASSURED  
RETIREMENT COMMUNITY

Version 8.1: July 2015

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# 1 Definitions

Affiliate Organisation:	any incorporated, not-for-profit entity with similar objects with which the PCA or Scheme Owner has signed an affiliation agreement (or other similar agreement).
Return of Conformity:	all documentation submitted by the Village, Village Owner and/or Operator intended to confirm its conformance with Certification Requirements
Appeal:	the process whereby an Applicant can apply to the ICB to reconsider or review a certification decision.
Applicant:	the Village or Village Owner and/ or Operator that has applied for Certification under the Scheme
Application:	request form submitted by an Applicant to ICB for assessment for the purposes of Certification.
Audit Report:	information compiled by the Audit Team Leader following an assessment of the Applicant's fulfilment of the Certification Requirements.
Audit Team Leader:	the Auditor responsible for preparing and submitting the Audit Report.
Audit Team:	a team of one or more Auditors that are appointed to carry out the Audit.
Audit:	an exercise to gather evidence and make an assessment on whether an Applicant demonstrates fulfilment of the Certification Requirements. An Audit may include on-site visit(s) to the Village(s) as well as head office of the Village Owner and/or Operator.
Auditor:	a person who is not a Village Manager, Village staff member, Village Owner and/or Operator, and who has been appointed by the ICB to be a member of the Audit Team.
Certificate of Conformity	certificate issued by the ICB demonstrating compliance with the Scheme Standards and other requirements of the Scheme..
Certification Decision:	a decision made by the ICB.
Certification Expiry Date:	the date being 3 years from the initial grant of Certification, unless earlier revoked.

Certification Requirements:	compliance with the Scheme Standards, these Scheme Rules and all other Scheme requirements.
Certification:	certification under the Scheme in accordance with the Certification Requirements
Certified:	attestation that a Village and/or Village Owner and/or Operator has fulfilled the requirements of the Scheme.
Conflict of interest	where a person or organisation has one or more interests that may prevent that person or organisation acting in an impartial manner (where impartial means either the perceived or actual presence of objectivity).
ICB:	"Independent Certifying Body": an impartial third-party audit body that is contracted by the Scheme Owner to administer the Scheme.
Lapsed certification:	a Village or Village Owner and/or Operator's Certification status will be considered to have lapsed if the application for renewal of Certification is not received prior to the Certification Expiry Date.
Major nonconformity	inability of a Village or Village Owner and/or Operator to demonstrate the fulfilment of Certification Requirements are met, where there is, or could be, an impact on retirement village residents.
Member:	a financial member of the PCA or an Affiliate Organisation.
Minor nonconformity	inability of a Village or Village Owner and/or Operator to demonstrate the Certification Requirements are fully met, or the outcomes are partly effective and where there is no impact on retirement village residents.
Observer:	a member of the PCA or other organisation who observes the Certification process and Audit activities.
Requirement/s:	the definition of a performance outcome.
Lifemark Village Scheme	is the Scheme
PCA	Property Council of Australia Limited ACN 008 474 422
RVA:	Retirement Village Association Limited ACN 900 945 211.
Scheme:	the Lifemark Village Scheme
Scheme Owner	Lifemark Village Pty Ltd ACN 162 592 921
Scheme Standards	the standards relating to the Scheme, as published and updated from time to time by the Scheme Owner, which must be met by an Applicant before Certification is granted. The current Scheme

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Standards are attached as Appendix C.

**Stakeholders:** individuals and/or groups of people who have an interest in the Village and/or Village Owner and/or Operator, by virtue of ownership, residence or employment (paid and unpaid), including contractors and suppliers to the Village and/or Village Owner and/or Operator.

**Symbol:** means the Scheme's logo associated with Certification which a Certified Village or Certified Village Owner and/or Operator may advertise to promote that it is Certified, which is provided in Appendix C of this document

**Units:** accommodation provided by the Village for residents.

**Village Management:** owner, operator or appointed authorised representative.

**Village Manager:** the person appointed with responsibility for day-to-day management of the Village.

**Village Owner and/or Operator:** Means,

- (a) with respect to the "Owner", a person or an incorporated entity who, or which, is a proprietor of a freehold or leasehold estate;
  - (i) in respect of the whole of a retirement village, or
  - (ii) in respect of the community facilities of a retirement village, and
- (b) with respect to the "Operator", the operator of a retirement village being the village's Owner or person or incorporated entity engaged by the village Owner to operate/manage the retirement village.

**Village:** a retirement village which has either applied to be Certified under the Scheme or is Certified under the Scheme.

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## 2 Introduction

- 2.1 This document contains the rules for the establishment, operation and maintenance of the Lifemark Village Scheme, a certification scheme for retirement Villages and Village Owners and/or Operators that demonstrate they have fulfilled minimum operational and service requirements in accordance with the prescribed Scheme Standards.
- 2.2 These Scheme Rules are based on contemporary international guidance for such schemes, as elaborated in ISO/IEC 17067 *Conformity assessment – Guidance for the establishment and operation of certification schemes for products, services and processes*; ISO/IEC 17065, *Conformity assessment - Requirements for bodies certifying products, processes and services*, and ISO/IEC Guide 28 *Conformity assessment - Guidance on a third-party certification system for products*.
- 2.3 The Scheme Owner has established the Lifemark Village Scheme to provide a minimum set of requirements that it expects retirement Villages and Village Owners and/or Operators to fulfil. The Scheme is a successful example of an industry setting an appropriate minimum level of service for its operators.
- 2.4 After an assessment and audit by an impartial Independent Certification Body (**ICB**), Villages and Village Owners and/or Operators that demonstrate fulfilment of the Certification Requirements are issued with a Certificate of Conformity and become a "Certified Village" or "Certified Village Owner and/or Operator". The Certificate of Conformity is valid for three years, and within this period, periodic surveillance of ongoing fulfilment of Certification Requirements is undertaken.

Certified Villages and Certified Village Owners and/or Operators may distinguish themselves in the market place through the use of their issued Certificate of Conformity and the associated Scheme Symbol on their signage and communication material, including :

- Letterhead
- Newsletters
- Media materials
- Print and online advertisements
- Sales and marketing materials
- Websites
- Emails

### **3 Purpose, objectives and scope of the Scheme**

- 3.1 The purpose of the Lifemark Village Scheme is to allow retirement Villages and Village Owners and/or Operators to demonstrate to an independent third party that they fulfil minimum operational and service requirements and are committed to continuous improvement.
- 3.2 Continuous improvement underpins the Scheme and is more fully explained in Appendix A as well as being included as a specific Scheme Standard to be met.
- 3.3 Fulfilment of the Certification Requirements result in the Village or Village Owner and/or Operator being issued with a Certificate of Conformity and authorisation to use the Scheme's Symbol.
- 3.4 The objectives of the Scheme and its associated Symbol are:
- to enable Certified retirement Villages or Village Owners and/or Operators to differentiate themselves from those villages and village owners and/or village operators that have not demonstrated fulfilment of the minimum requirements, and thereby to promote themselves in the marketplace;
  - to allow for retirement Village residents to enjoy a level of certainty about the minimum level of service in a Certified Village, and for this to positively influence their choice of retirement village; and
  - to provide an opportunity for the industry and for individual Villages or Village Owners and/or Operators to use the Certification process to achieve minimum standards, identify and manage risks, benchmark and continually improve performance, and improve profitability.
- 3.5 The scope of the Scheme is reflected in the Certification Requirements. The Scheme Standards cover six key groups:
- Lifestyle;
  - Support
  - People/Staff
  - Safety
  - Regulations; and
  - Village Policy
- 3.6 Any retirement Village or Village Owner and/or Operator in Australia may apply to be Certified under the Scheme.
- 3.7 All Village or Village Owner and/or Operator members of the PCA are strongly encouraged to be Certified under the Scheme

## 4 Ownership of the Scheme

4.1 The Lifemark Village Scheme is owned and supported by the Lifemark Village Pty Ltd , which contracts with BSI Australia (ACN 078 659 211), as ICB, to operate the Scheme as an independent contractor.

### **Obligations of the Scheme Owner**

4.2 The Scheme Owner shall:

- a) in co-operation with the ICB, notify Applicants and Certified Villages or Certified Village Owners and/or Operators of any changes to the Scheme Rules or Scheme Standards, and give them enough time as is, in the sole opinion of the Scheme Owner, a reasonable period in which to adjust their processes and relevant procedures to meet the revised requirements;
- b) notify the ICB, at its discretion, of customer complaints known to the Scheme Owner, and receive any complaints from an Applicant or Certified Villages or Certified Village Owners and/or Operators in regard to the operation of the Scheme by the ICB; and
- c) not disclose any information of a confidential nature concerning Applicants or Certified Villages or Village Owners and/or Operators, without the permission of the relevant Village or Village Owner and/or Operator, unless otherwise required by relevant laws and regulations.



## 5 Eligibility and obligations under the Scheme

- 5.1 All Australian retirement villages and Village Owners and/or Operators are eligible to apply for Certification in accordance with these Scheme Rules.
- 5.2 These Scheme Rules form the basis for how retirement villages and Village Owners and/or Operators become Certified and maintain their Certification overtime.

### **Obligations of the Applicant or Certified Village or Certified Village Owner and/or Operator**

- 5.3 These Scheme Rules must be fulfilled at all times by every Applicant, Certified Village or Certified Village Owner and/or Operator (as relevant), including implementing any necessary changes when the Scheme Owner or ICB communicates changes to the Scheme Standards or these Scheme Rules. Failure to do so may result in cessation of the Certification process for the Applicant Villages, or Village Owner and/or Operator or withdrawal of Certification for Certified Villages or Certified Village Owners and/or Operators.
- 5.4 Applicants, Certified Villages and Certified Village Owners and/or Operators shall:
- a) make all necessary arrangements for the conduct of the assessment and surveillance, including provision for the examination of documentation and records, access to the relevant equipment, location(s), area(s), residents and personnel (including contractors);
  - b) provide access to all documents and records in relation to quality management and continual improvement, such as quality policies and procedures, management reviews, internal audits, corrective and preventative actions;
  - c) keep a record of all complaints and make these records available to the ICB when requested, including details of what action was undertaken with respect to each complaint;
  - d) give evidence during the certification process that is consistent with the scope of Certification;
  - e) not use its Certification in such a manner as to bring the Scheme, PCA, Scheme Owner or ICB into disrepute and not make any statement regarding its Certification which may be misleading;
  - f) upon suspension, withdrawal, or termination of Certification, discontinue its use of all advertising matter and other communications that contains any reference to Certification under the Scheme or its Symbol, and take any other action that is required by the Scheme Owner or ICB;
  - g) if providing copies of the Certificate of Conformity to others, ensure that it is reproduced and communicated in its entirety;
  - h) inform the Scheme Owner and the ICB, without delay, of changes that may affect its ability to fulfil the Certification Requirements (including, for example. changes in legal, commercial, organisational status or ownership; organisation and management;

significant changes in the type and nature of services provided to residents; changes to the contact address, location and number sites, or major changes to the quality management system).

#### **Acknowledgement, indemnity and release**

- 5.5 The Scheme is intended as a positive means of attaining and improving the quality of retirement village operation and as such, every effort will be made by those concerned to act in a professional, discreet and supportive manner.
- 5.6 By submitting an Application, the Applicant acknowledges and agrees that the ICB, PCA and/or the Scheme Owner, will not at any time or times be held liable or responsible for any loss or damage that may arise or be incurred by the Applicant, and if Certification is granted, subsequently the Certified Village, the Certified Village Owner and/or Operator, or any person claiming through the village, whether directly or indirectly, arising because of any act, omission or statement (whether negligent or otherwise) made pursuant to, during or as a consequence of:
- a) the granting of Certification under the Scheme;
  - b) the failure or refusal to grant Certification under the Scheme;
  - c) the Village or Village Owner and/or Operator being Certified under the Scheme;
  - d) removal of the Certified Village's or Certified Village Owner and/or Operator's Certification under the Scheme; or
  - e) any dealing with the Village, the Village Owner and/or Operator or in any way related to the Village or the Village Owner and/or Operator.
- 5.7 By submitting an Application, the Applicant and (where Certification is granted), subsequent Village Owner and/or Operator, acknowledges and agrees that each of the ICB, PCA and the Scheme Owner are released from all such liability and responsibility described in paragraph 5.6.
- 5.8 By submitting an Application, the Applicant and (where Certification is granted), subsequent Village Owner and/or Operator, acknowledges and agrees that it indemnifies and will keep indemnified each of the ICB, the Scheme Owner and PCA to the fullest extent permitted by law against any damages or loss that may be suffered or incurred by the ICB, the Scheme Owner or PCA (whether jointly or severally) as a result of any act or omission by a resident of the Village or the Village Owner and/or Operator in connection with the Scheme.
- 5.9 The Deed Poll attached as Appendix D to these Scheme Rules, is required to be signed by the Village Owner and/or Operator prior to the acceptance of an Application.
- 5.10 The Scheme is a means of assessment only and is intended to assist in the improvement of quality and management of the Applicant's retirement village. It is not intended nor does it replace, alter, amend or increase any legal obligations or contractual agreements.

## 6 Scheme operation

### Confidentiality and conflict of interest

- 6.1 Except where agreed between the Scheme Owner, the ICB and the Applicant, all information is considered proprietary information and shall be regarded as confidential.
- 6.2 When the Scheme Owner or ICB is required by law to release confidential information, the Applicant shall, unless prohibited by law, be notified of the information provided.
- 6.3 Information about the Applicant, Certified Village or Certified Village Owner and/or Operator obtained from sources other than the Applicant, Village or Village Owner and/or Operator (e.g. information from complainants or regulators) shall be treated as confidential.
- 6.4 The Scheme shall be operated in a manner which is impartial and fair. All parties must declare and adequately manage any conflicts of interest to ensure impartiality is upheld.

### Certification Requirements

- 6.5 The Scheme requires the ongoing fulfilment of the Certification Requirements by every Applicant, Certified Village and Certified Village Owner and/or Operator.
- 6.6 The Certification Requirements comprise:
  - a) these Scheme Rules;
  - b) the Scheme Standards;
  - c) compliance with processes and documents required by the ICB; and
  - d) the payment of fees.
- 6.7 Each Scheme Standard has a number and a list of criteria. It is expected that in order to achieve conformance with the Scheme Standard, each of the requirements and criteria will be fulfilled and met, except where a Scheme Standard is not applicable as deemed by the ICB.
- 6.8 The Scheme Standards are subject to revision and amendment from time to time by the Scheme Owner. Appendix B provides the current list of Scheme Standards.
- 6.9 The Scheme Standards aim to be realistic, fair and transparent. They are minimum standards designed to ensure the protection and quality of life of residents. This includes promotion of health and wellbeing within the retirement village.
- 6.10 The Scheme is based upon the principle of 'Continual Improvement' across all facets of management. Continual Improvement completes the quality cycle and ensures that standards of service improve over time. Certification through the Scheme requires a commitment to continual improvement, which includes conformance with Appendix A.

### Independent Certification Body

- 6.11 The Scheme Owner will appoint and contract an ICB to administer and operate the Scheme.
- 6.12 The ICB has responsibility for all aspects of the Scheme's management and operations.

**Auditor competence**

- 6.13 The ICB shall employ, contract or otherwise have access to a sufficient number of competent auditors to operate the Scheme.
- 6.14 The ICB shall have a legally enforceable agreement with all personnel (including but not limited to Auditors, reviewers, decision makers, Observers and persons considering appeals) that it uses to administer and operate the Scheme.
- 6.15 These legally enforceable agreements shall include the following:
- a) a clear description of the role of the personnel;
  - b) a commitment to confidentiality and avoiding conflicts of interest; and
  - c) expected competencies of the personnel.
- 6.16 The specific competencies that are expected for each role shall be established and updated by the ICB in consultation with the Scheme Owner.

**Certification process**

- 6.17 The following Certification process shall be used to assess Applicant Villages and Applicant Village Owners and/or Operators and to maintain Certification.



6.18 The Certification process requires the Village and Village Owner and/or Operator to pay annual fees. Section 8 of these Scheme Rules contains annual fees requirements.

6.19 The ICB shall have procedures and standardised forms to enable the Certification process.

**Self-assessment**

6.20 Prior to making a formal application for Certification, Applicants shall undertake a self-assessment of their fulfilment of the Certification Requirements.

- 6.21 The self-assessment is designed to assist the Village stakeholders (management, owners, residents and staff) to identify achievements, gaps or deficiencies and form a basis for continual improvement.
- 6.22 It provides an opportunity for the stakeholders to 'share the story' and better understand how the Village and Village Owner and/or Operator operates and performs.
- 6.23 The steps in the self-assessment include the Applicant:
- a) reading and becoming familiar with the Certification Requirements, in particular the processes and forms, standards and criteria;
  - b) planning a schedule for self-assessment utilising the "Self-Assessment Schedule". The ICB is responsible for design and maintenance of the Self-Assessment Schedule. This will assist in identifying responsibilities and a timeframe for the self-assessment;
  - c) drafting the Self-assessment. This will help identify gaps which can be included in the "Continual Improvement Plan";
  - d) developing a schedule with timeframes to work through the Continual Improvement Plan;
  - e) completing the self-assessment by:
    - formally writing the self-assessment;
    - compiling the Application Folder (see paragraph 6.24 below); and
    - forwarding the completed Application folder to the ICB.

### **Applications**

- 6.24 All Applicants shall apply to the ICB for Certification by submitting (either in hardcopy or electronically) the following completed forms and information (which is known as an 'Application Folder'). The ICB is responsible for design, maintenance and access to all forms included in the Application Folder:
- a) completed and signed Application Form;
  - b) payment of any relevant fees;
  - c) Deed Poll, attached as Appendix D to these Scheme Rules, completed in full and duly executed by the authorised person for the Applicant Village or Applicant Village Owner and Village Operator;
  - d) Self-assessment Form;
  - e) Continual Improvement Plan;
  - f) a numeric list of occupied units; and
  - g) annexures and supporting documentation, which must be clearly identified as to the related Scheme Standard.
- 6.25 The completed forms, accompanied by all necessary information, and receipt of the payment of any relevant fees, are to be sent to the ICB address identified on the Application Form.
- 6.26 After the application has been checked for completeness by the ICB, including confirmation of the duly signed Deed of Release from Liability and Indemnity and payment of any fees due, it will be formally acknowledged.
- 6.27 Applications with incomplete forms, insufficient accompanying information or non-payment of fees due, will be returned to the Applicant by the ICB for resubmission.
- 6.28 Once the formal acknowledgment is sent to the Village or Village Owner and/or Operator, the assessment process will be organised and undertaken by the ICB.

## Assessment

- 6.29 The assessment requires the ICB to:
- a) undertake a survey of village residents;
  - b) select auditor(s) to make up the Audit Team;
  - c) contact the Village or Village Owner and/or Operator to arrange a suitable time for on-site audit(s);
  - d) provide to the Audit Team the relevant client file, including responses from the residents survey, application forms and associated documents, for the Audit Team to review prior to the on-site Audit;
  - e) enable the Audit Team to undertake the on-site Audit at the Village or Villages and head office where sampling methodology is adopted, and to provide the Village and Village Owner and/or Operator with a "Preliminary Assessment Report", including the identification of any Minor nonconformities or Major nonconformities.
- 6.30 The survey of Village residents shall relate to the residents' experiences and perceptions of the extent to which the Village or Village Owner and/or Operator fulfils the Certification Requirements. To facilitate the survey the Village or Village Owner and/or Operator shall provide unit addresses of all their residents to the ICB.
- 6.31 The ICB shall identify a random sample of not less than 20% of residents (based on number of units per village) and provide those residents with a survey response form and due date for receiving responses.
- 6.32 Responses received from residents shall be collated and may be provided by the ICB on request of the Scheme Owner's Directors to the Scheme Owner for the purposes of monitoring trends across the industry and highlighting specific issues that could benefit from industry wide action, for example, identification of specific training needs.
- 6.33 A summary of the resident responses may be made available to the Applicant or Certified Village or Certified Village Owner and/or Operator for their own continual improvement purposes.
- 6.34 Survey responses received by the ICB may be anonymous, and when provided to the Scheme Owner or to the Applicant shall not identify individual residents.
- 6.35 The ICB shall ensure that persons on the Audit Team do not have conflicting or financial interests that may influence their impartiality. Generally speaking, persons involved in the Certification assessment and decision making process, or in dealing with appeals, must not have any management or financial interest in the Village, or have provided advice to the Village or Village Owner and/or Operator within the previous two (2) years.
- 6.36 The ICB shall inform the Village Manager or Village Owner and/or Operator of the persons that will be in the Audit Team prior to the on-site Audit. The Village Manager or Village Owner and/or Operator shall inform the ICB if he or she believes there are any conflicts of interest with any Audit Team member so that appropriate action can be taken. Failure to advise of any interest or conflicts of interest could lead to Certification not being granted and could result in additional expense for the Applicant Village or Applicant Village Owner and/or Operator.
- 6.37 Initial assessments shall include on-site Audits for all sites that the Applicant has identified on their Application Form, unless the Village Owner and/or Operator is operating a multi-site operation under the same management system.

6.38 For multi-site operations where each retirement village is managed using the same operator wide management system, on-site Audits will be carried out for a sample of the total number of sites covered by that management system. The basis for the multi-site sampling will be as follows:

2 to 4 villages = 2 sampled;

5 to 9 villages --3 sampled;

10-16 villages --4 sampled;

17-19 villages --5 sampled;

20+ villages --25% sampled.



## 7 Audits and Appeals

- 7.1 The ICB is responsible for administering and undertaking all audits. The methodology for on-site village Audits shall be as follows:
- a) The Audit Team (managed by the ICB) arrives on the scheduled date and time for the on-site Village Audit and will carry identification.
  - b) During the visit the Audit Team will:
    - conduct an initial meeting with management and view related documents to be made available for the team;
    - tour the Village to review services provided and the environment;
    - undertake discussion with residents and/or their representatives, and the resident committees where it exists;
    - talk with staff;
    - review documents and records to review evidence of the fulfilment of Certification Requirements.
  - c) At the end of the on-site Village Audit, the Audit Team will hold an exit meeting with Village Management, and other stakeholders as advised by the Applicant, to give their "Preliminary Assessment Report" including identification and discussion of nonconformities, and where applicable, offer observations on the Applicant's continual improvement.

Operators with multiple sites (i.e. 2 or more villages) *and* centralized head office village based system and processes) will be surveyed by a multi-site and head office sampling method.

The initial multiple sites survey will cover the head office (main centralized systems, policies and processes) with a validation check occurring in a predetermined number of Villages as set out above.

- 7.2 For Certified Villages or Certified Village Owners and/or Operators eligible for multisite sampling, each successive surveillance assessment shall to the extent possible cover different sites than previously audited. This does not negate the need to confirm the closeout of any outstanding non-conformities associated with sites previously audited.

### Non-conformities

- 7.3 Nonconformities shall be recorded by the Audit Team against a specific requirement of the Certification Requirements and shall be categorised as being 'Major' or 'Minor' in accordance with the definitions in the Scheme Rules and the following:
- a) Major nonconformities – nonconformities are 'Major' in cases where the Village or Village Owner and/or Operator cannot demonstrate fulfilment of Certification Requirements, and must be resolved within a one (1) month time period, before a decision is made to grant or maintain Certification; or
  - b) Minor nonconformities –nonconformities are 'Minor' in cases where the Village or Village Owner and/or Operator achieves the anticipated outcome of the Requirement, but some form of administrative error or oversight is evident, in which cases the nonconformity

must be resolved within six (6) months. The decision can be made meanwhile to Certify or recertify the Village or Village Owner and/or Operator, pending successful resolution of the minor nonconformity

- 7.4 Failure to resolve nonconformities to the satisfaction of the ICB, or to pay fees by the due date will result in the immediate suspension of application processing (in the case of Applicants), or immediate suspension of Certificates of Conformity (for Certified Villages or Certified Village Owners and/or Operators).

#### **Final Assessment Report**

- 7.5 Once the Applicant or Certified Village or Certified Village Owner and/or Operator has provided evidence of corrective action sufficient for the ICB to consider the nonconformity resolved, the Audit Team Leader will prepare a "Final Assessment Report".
- 7.6 The Final Assessment Report prepared by the ICB will include, at a minimum:
- a) commentary from the Audit Team Leader on the extent to which each of the Certification Requirements are met, including reference to any supporting information or records;
  - b) a recommendation on whether or not to grant or maintain Certification; and
  - c) a list of any conditions to grant or maintain Certification, for example the list of Minor nonconformities that must be resolved and the time frames for this being achieved.

#### **Review and Decision**

- 7.7 The Final Assessment Report is to be reviewed by a person(s) designated by the ICB who has not been part of the Audit Team.
- 7.8 Based on the review, the ICB shall make a Certification decision on whether to reject, grant or maintain Certification. The decision shall be recorded, with sufficient reasons.
- 7.9 The ICB may not grant Certification if there are outstanding Major nonconformities, but may grant Certification if Minor nonconformities are outstanding. Any outstanding Minor nonconformities must then become conditions to the Certification and have clearly stated due dates for close out. Failure to close out minor nonconformities by the due date shall result in immediate suspension of the Certification.
- 7.10 Review of the Final Assessment Report and the Certification Decision may be made by the same person(s) as designated by the ICB, as long as that person(s) was not involved in the Audit Team or assessment process.
- 7.11 Certification Decisions shall be formally communicated to the Applicant or Certified Village or Certified Village Owner and/or Operator by the ICB in writing, including reasons for the decision and any associated conditions for granting or maintaining Certification.
- 7.12 Certification decisions to grant or maintain Certification by the ICB shall result in the issuance of a Certificate of Conformity. Certificates of Conformity are valid for three (3) years, subject to conditions of the Certification Decision being met, and the Certified Village or Certified Village Owner and/or Operator demonstrating its ongoing fulfilment of Certification Requirements through surveillance.

## Appeals

- 7.13 Within thirty (30) days of receiving notice, the Applicant, Certified Village or Certified Village Owner and/or Operator may appeal the Certification or suspension decision of the ICB.
- 7.14 The ICB shall have an appeal procedure and shall administer it to ensure appeals are considered impartially. The ICB must not use persons previously involved in the assessment or Audit Team or in the review and Certification decision to consider appeals of that same decision.
- 7.15 The appeals procedure currently used by the ICB is outlined below. This procedure relates to appeals against decisions which:
- a) refuse an Application;
  - b) refuse to grant or continue Certification;
  - c) suspend, withdraw or reduce the scope of Certification;

Further information on the right to appeal, and the appeals process is provided in the "Certification and Assessments Services Recognition Booklet" issued by the ICB. Further information on the process generally can also be requested from the ICB.

Appeals against Certification Decisions will only be considered if full details are provided in writing.

The appeals procedure may be subject to change.

- 7.16 Appeals procedure
- a) Within 28 days of receipt of the notice it disputes from the ICB, the appellant may lodge a notice of appeal with the CEO of the ICB.
  - b) The CEO shall advise the Board of Directors of the ICB within 14 days of receiving the appellant's notice.
  - c) The Board shall then establish a "Review Committee".
  - d) The Review Committee shall consist of three persons considered as experts in the area of technology or business relevant to the appeal. The Review Committee shall be constituted as follows:
    - i) one person in the relevant area of technology or business appointed by the Board; and
    - ii) two persons selected by the appellant from a list of four persons nominated as eligible by the Board.
  - e) The appellant shall represent himself and no legal representation will be allowed unless approved by the Review Committee.
  - f) The Review Committee will carry out investigations as are required, including assessment of information supplied by the appellant and, within 30 business days, decide by majority vote whether or not to reverse the original decision.
  - g) Notification of the decision of the Review Committee shall be given to the appellant by the CEO within 14 days of the Review Committee decision.

- h) If the appeal is upheld, a System Improvement Request (**SIR**) will be raised by the "Professional Standards and Certification Manager" and referred to the appropriate personnel for further investigation and to make internal procedure or process changes to prevent future reoccurrence of SIR issue

### **Surveillance**

- 7.17 After the initial granting of Certification or recertification, the Certified Village or Certified Village Owner and/or Operator shall be subject to a surveillance activity to ensure the ongoing fulfilment of the Certification Requirements. Surveillance activities shall take place 18 months after the issuance of the Certificate of Conformity.
- 7.18 The surveillance activity shall include the submission to the ICB of a Return of Conformity from the Certified Village or Certified Village Owner and/or Operator and a repetition of the "Assessment", "Nonconformities", "Final Assessment Report", and "Review and Decision" steps outlined above.
- 7.19 The Return of Conformity shall include details about complaints the Village or Village Owner and/or Operator may have received and its staff training records.
- 7.20 The repetition of the Assessment, Nonconformities, Final Assessment Report, and Review and Decision process will not be at the intensity of the original Certification assessment or recertification activity. The ICB is expected to focus surveillance assessments on the following aspects:
  - a) demonstration of resolution of all complaints;
  - b) all Scheme Standards related to Lifestyle;
  - c) all Scheme Standards related to Village policy; and
  - d) 50% of all other Scheme Standards (alternating to a focus on the other 50% of all other Scheme Standards on the subsequent surveillance).

### **Recertification**

- 7.21 Prior to the expiry of the Certificate of Conformity, Certified Villages and Certified Village Owner and/or Operator must be recertified to maintain their Certification.
- 7.22 Recertification shall be based on a full repetition of the Assessment and Review, Nonconformities, Final Assessment Report, and Review and Decision processes as outlined above, including assessment of all of Certification Requirements.
- 7.23 The ICB shall give notice to the Village Manager or Village Owner and/or Operator of the forthcoming expiry of the Certificate of Conformity six (6) months prior to the expiry date.
- 7.24 If required, a reminder notice of the expiry of the Certificate of Conformity will be sent by the ICB to the Village Manager or Village Owner and/or Operator three (3) months prior to the expiry date.
- 7.25 It is the Village's or Village Owner and/or Operator's responsibility to contact the ICB and arrange for recertification prior to the expiry of their Certificate of Conformity.
- 7.26 If the recertification process is initiated prior to the expiry date, the current Certificate of Conformity remains valid until such time as the recertification has been granted or declined by

the ICB or is withdrawn by the Village or Village Owner and/or Operator. In these cases the renewed Certification is backdated to the expiry date of the original Certificate of Conformity.

- 7.27 If the recertification process is not initiated prior to the expiry date, the Village or Village Owner and/or Operator's Certificate of Conformity status will be considered to have lapsed. The recertification process may start, however the date of the new Certification will start when the new Certificate of Conformity is issued.
- 7.28 In the event of lapsed Certification the Applicant must:
- a) remove the Certification Certificate of Conformity from display and return it to the ICB;
  - b) remove any reference to the Scheme from all electronic and hard copy materials, information or brochures distributed by the Certified Village or Certified Village Owner and/or Operator;
  - c) provide a statutory declaration to the ICB within fourteen (14) days of the expiry date that it has attended to the above matters.

### **Suspension and withdrawal of Certification**

- 7.29 Suspension of a Certificate of Conformity is a decision of the ICB. This decision may be appealed as provided in paragraphs 7.13 to 7.16 above.
- 7.30 The ICB may suspend a Certificate of Conformity at any time by providing a "Suspension Notice" to the Certified Village or Certified Village Owner and/or Operator. Such notices must include the reasons for the suspension. Reasons may include, but are not limited to:
- a) failure of the Certified Village or Certified Village Owner and/or Operator to fulfil the Scheme Rules;
  - b) failure of the Certified Village or Certified Village Owner and/or Operator to resolve any Minor nonconformities or Major nonconformities within prescribed timeframes;
  - c) failure of the Certified Village or Certified Village Owner and/or Operator to fulfil conditions associated with a Certification Decision;
  - d) failure of the Certified Village or Certified Village Owner and/or Operator to act in a manner that upholds the reputation of the Scheme, PCA, the Scheme Owner or the ICB; or
  - e) non-payment of any fees.
- 7.31 Suspension Notices must also identify the required action(s) that must be undertaken by the Certified Village or Certified Village Owner and/or Operator and the due date(s) for those actions. Due dates cannot not exceed (3) three months from the date of the Suspension Notice.
- 7.32 During the period that a Suspension Notice is in place the Certified Village or Certified Village Owner and/or Operator cannot use the Scheme's Symbol or make any communications or promotion on the basis that it is Certified. This includes refraining from using any existing publications with the Symbol and removing reference to Certification under the Scheme from online and other media.
- 7.33 Failure to complete the action(s) identified in the Suspension Notice by the due date(s), or failure to refrain from using the Symbol or communicating about the Village in a manner that would give the impression that the Village or Village Owner and/or Operator's Certification remains current, shall result in the immediate withdrawal of the Certificate of Conformity.

- 7.34 Withdrawal of the Certificate of Conformity will require the Village or Village Owner and/or Operator to return its Certificate/s of Conformity to the ICB and cease all references to the Village or Village Owner and/or Operator being Certified under the Scheme.
- 7.35 Villages or Village Owners and/or Operators that have had their Certificate of Conformity withdrawn may apply again for Certification as a new applicant.
- 7.36 Villages or Village Owners and/or Operators that have their Certificate of Conformity suspended or withdrawn shall immediately inform their residents of this status in writing.

**Certificate of Conformity and authorisation to use branding material**

- 7.37 The Certificate of Conformity and the associated Symbol of the Scheme and any other branding material remain the property of the Scheme Owner.
- 7.38 The Certificate of Conformity shall contain at least the following information:
- a) reference to the Lifemark Village Scheme and its Symbol;
  - b) the name of the Certified Village or Certified Village Owner and/or Operator;
  - c) the names and addresses of the sites covered by the Certificate of Conformity; and
  - d) the expiry date of the Certificate of Conformity.
- 7.39 Once a Village or Village Owner and/or Operator has received a positive audit outcome and been Certified by the ICB, it will be sent branding material by the ICB. The Village or Village Owner and/or Operator is authorised to use this branding material if the Village or Village Owner and/or Operator continues to conform to all Scheme Standards and processes. Unresolved Major non-conformities that arise during the 18 months surveillance or at recertification can result in the ICB withdrawing Certification and hence the Village or Village Owner and/or Operator losing the right to use the Certification related branding.
- 7.40 Certified Village or Certified Village Owner and/or Operator receive a Certificate of Conformity from the ICB, which will have the Symbol and ICB logo.
- 7.41 The Village or Village Owner and/or Operator will receive a Certificate of Conformity and right to use the Certification related branding if there are only Minor non-conformities and the Village or Village Owner and/or Operator has demonstrated steps undertaken to address non conformities when assessed at a later specified date..
- 7.42 The associated use of the Symbol applies only to the sites that are covered by the Certificate of Conformity, and is not transferrable to non-Certified sites.

## 8 Fees

- 8.1 The Scheme Owner and the ICB shall agree on the fees for retirement Villages and Village Owners and/or Operators to make Applications and be Certified in accordance with the Scheme.
- 8.2 These fees shall be published and periodically updated.
- 8.3 The Certification process requires the Village or Village Owner and/or Operator to pay these fees annually to the ICB.
- 8.4 Fees are payable each year in the three year audit cycle.
- 8.5 All outstanding fees must be paid to the ICB before a Village or Village Owner and/or Operator can be Certified or recertified.
- 8.6 Fees are not refundable.
- 8.7 Fees agreed for F2014-F2017 are based on an analysis of work requirements for ICB, evaluation of other industry schemes, and the retirement village industry structure.
- 8.8 Fees are payable by participating Village Owners and/or Operators (on behalf of all villages the Village Owner and/or Operator owns) annually. Village Owners and/or operators that own more than one village cannot choose which villages to certify – Certification is performed across all village assets.

### **Multi site operators with village based centralized head office systems and processes**

- 8.9 Village Owners and/or Operators with multiple sites (defined as 2 or more sites) *and* village based centralized single head office functions (systems and processes) will be audited using a multi-site and head office sampling method.
- 8.10 Under this method, the Audit will cover the head office (main centralized village based systems, policies and processes) and then a validation check will occur in 1-20 village sites, depending on the number of villages owned. The selection of which villages to perform validation checks in is a decision made by the ICB.
- 8.11 The number of village sites audited for a multi-site Village Owner and/or Operator is:
- The square root of the total number of villages,<sup>1</sup> for operators with 6 to 19 villages; or
  - 25% of all villages for operators with 20 or more villages.
- 8.12 The number of village sites audited as per the above sampling method is rounded up to the nearest whole number. For example, a Village Owner and/or Operator with 13 villages will have 4 village sites audited based on the square root methodology, because the nearest rounded up whole number used to calculate the square root is 16.
- 8.13 For multi-site Village Owner and/or Operator, the annual Certification fee consists of two components:
1. Head office audit fee (payable for all villages managed/owned); and

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<sup>1</sup>**Square root** of a number  $a$  is a number  $y$  such that  $y^2 = a$ , or, in other words, a number that divided by itself gives the same number. For example, 4 is the square root of 16, because  $4^2 = 16$ .

2. Per village audit fee (payable only for villages audited in the initial survey).
- 8.14 The *head office audit fee* component (\$1000 per managed/owned village) reflects the increasing operational complexity for certifiers, as greater reliance is placed on centralised systems. The *per village audit fee* component (\$2300 per village) is calculated by the number of villages audited per the sampling method (excluding surveillance audits).
- 8.15 For multi-site villages owned by Village Owner and/or Operator who do not have centralized head office systems or processes, the ICB will provide the option of a tailored audit sampling methodology. This will be cheaper for those operators compared with an audit of each village treated separately (i.e. as a single village).

**Single village Village Owner and/or Operators**

- 8.16 A single village Audit will be undertaken, followed by a surveillance Audit after 18 months. The Certification fee will be based on the village size.
- 8.17 The single village fee (payable annually) is \$1500 per village (for villages up to 49 units), \$2300 per village (for villages with 50 to 199 units) and \$2700 per village (for villages with 200+ units).



## **9 Maintenance and changes to the Scheme**

- 9.1 The Scheme Owner reserves the right to modify the Scheme Rules, the Scheme Standards and all other requirements of the Scheme, at any time.
- 9.2 The Scheme Owner shall undertake a review of the Scheme Standards at least once every three years.
- 9.3 Any changes to the Scheme Rules, Scheme Standards or other Certification requirements shall be notified to Applicant and Certified Villages or Certified Village Owner and/or Operator and include a specified time period during which Villages or Village Owners and/or Operators must transition to new requirements.
- 9.4 Once the transition period is completed all Applicant and Certified Villages or Certified Village Owners and/or Operators are to be Certified on the basis of the revised Scheme Rules, Scheme Standards or Certification requirements.

## 10 Complaints

- 10.1 The Scheme Owner shall maintain a function for receiving complaints about:
- a) the operation of the Scheme by the ICB;
  - b) Certified Villages or Certified Village Owners and/or Operators not fulfilling Certification Requirements;
- 10.2 Both types of complaints shall be referred to the ICB for investigation and resolution in the first instance.
- 10.3 A response shall be provided to the complainant and the Scheme Owner will undertake a further investigation if the complaint is not resolved to its satisfaction.
- 10.4 Complaints must be in writing and include the contact details of the complainant. The contact details are to be kept confidential by the Scheme Owner.
- 10.5 The Scheme Owner will consult with the ICB or the Certified Village or Certified Village Owner and/or Operator when investigating complaints.

## **11 Contact details and serving notice under the Scheme**

- 11.1 The up-to-date contact details of the Scheme Owner and the ICB shall be available on the PCA website.
- 11.2 The up-to-date contact details for the Applicant, Certified Village, or Certified Village Owner and/or Operator shall be received and recorded by the ICB.
- 11.3 Serving notice pursuant to these Scheme Rules shall be undertaken in writing, and may be communicated to the recipient at the up-to-date contact address via email or through recorded delivery or registered post.

## **12 Document Control and Records**

12.1 All documents, including these Scheme Rules, the Scheme Standards, and all forms shall have sufficient document control identification including:

- a) document reference;
- b) version numbering;
- c) operative date;
- d) approval person; and
- e) page numbering.

12.2 The Scheme Owner and ICB shall maintain all documents for a minimum of seven years.

## 13 Appendices

### Appendix A

#### Continual Improvement

Continual improvement underpins the Lifemark Village Scheme. A "Continual Improvement Program" is a systematic and on-going management process whereby delivery processes are constantly evaluated and improved in the light of their efficiency, effectiveness and flexibility. A Continual Improvement Program covers all facets of management, not just property maintenance.

##### Principles of Continual Improvement

There are a number of ways that continual improvement can be approached. Whatever approach is used, the following principles should help to drive and support the process:

- Resident-focused
- Strategic planning and implementation
- Clearly defined objectives and outcomes
- Involvement of staff
- Involvement of key stakeholders
- Encouragement of innovation
- Utilisation of a range of approaches and techniques
- Regular monitoring and evaluation

##### The Steps of Continual Improvement

- Identification – identify the gaps or areas for improvement
- Planning – plan the required improvement
- Implementation – implement the plan to improve
- Assessment – assess how well the improvements have worked
- Monitor – monitor the improvement

Continual improvement involves a proactive focus on lifting performance in each of the Scheme Standards and is a results-focused activity, which can be demonstrated through outputs and outcomes. Improvements may range in scale from smaller programs to significant strategic initiatives. It allows the manager to reflect back on what worked well, and what didn't.

Certified Villages and Certified Village Owners and/or Operators are required to submit a plan for continual improvement as part of their annual surveillance activity to maintain Certification.

## **Appendix B**

### **Lifemark Village Scheme Standards**



# LIFEMARK VILLAGE SCHEME STANDARDS

A SIX-PILLAR QUALITY ASSURED  
RETIREMENT COMMUNITY

*Version 3.1, July 2015*

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# Introduction

This document outlines the Scheme Standards for the Retirement Living Council's Lifemark Village Scheme.

The standards drive a national quality assurance program managed by BSI Australia. They comprehensively encapsulate best practice performance criteria for retirement communities that meet the needs and expectations of their residents.

The standards were prepared following extensive consultation with industry stakeholders and certification specialists.

The 26 standards are divided into these six critical categories of performance:

	1	Lifestyle (4 standards)
	2	Support (4 standards)
	3	People/staff (5 standards)
	4	Safety (4 standards)
	5	Regulations (5 standards)
	6	Village policy (4 standards)



# 1. LIFESTYLE (4 STANDARDS)

## STANDARD 1.1 VILLAGE ACTIVITIES

*Information and support is provided to enable residents to access a range of activities.*

A major benefit of living in a retirement village is the ability for residents to participate in the variety of social, recreational and leisure activities offered. To cater for a broad variety of residents' interests, a range of activities, which are communicated clearly to residents and encourage positive lifestyle activities, is essential.

### **Standard 1.1.1**

*A process shall be in place to ensure a range of activities relevant to residents*

Examples of evidence can include:

- Documented evidence available i.e. site activity calendar, newsletter, schedule of activities etc.
- Discussion with residents and staff
- Social and community activities in which the village is involved

### **Standard 1.1.2**

*Residents shall be encouraged to participate in activities that enhance physical, social and mental wellbeing*

Examples of evidence can include:

- Confirmation from residents and staff that they are actively encouraged to participate in activities
- Documented evidence available i.e. site activity calendar, newsletter, schedule of activities etc.

## **STANDARD 1.2 TRANSPORT SERVICES**

*Except in circumstance where residents use their personal vehicles to transport other residents at their own initiative, where villages (or via a third party) provide transport for the resident population, drivers have the relevant license and comply with all road laws.*

Village based resident transport services can enhance resident lifestyle by facilitating attendance at appointments, enable the resident to shop independently, and attend activities away from the village. Management is responsible for ensuring village processes support a safe, robust and reliable transport service, where village or appointed resident drivers are licensed and have access to emergency service contacts.

### **Standard 1.2.1**

*Where a village (or residents of the village) provide (or via a third party contract) transport for residents, management will ensure the drivers hold relevant licenses, insurances and safety check documents, which must be current and available for observation.*

Examples of evidence can include:

- Transport license, insurance and current safety check documentation
- Registration documents

### **Standard 1.2.2**

*People providing transport to village residents will hold current driver's licenses that are in accordance the vehicle class being operated.*

Examples of evidence can include:

- Relevant license for the class of vehicle they operate

### **Standard 1.2.3**

*The village can demonstrate the presence of a system for drivers to make emergency contact.*

Examples of evidence can include:

- A system to make emergency contact such as a mobile phone or radio transmitter

### **Standard 1.2.4**

*All village transport has a fully equipped First Aid kit.*

Examples of evidence can include:

- First aid kit on all designated transport vehicles

**Standard 1.2.5**

*The village can demonstrate the existence of relevant policies and processes about how residents will be transporting other residents, where staff facilitated this arrangement. .*

Examples of evidence can include:

- Written policies, procedures and current driver logs.
- Transport timetable

**Standard 1.2.6**

*The village can demonstrate that designated village drivers have a good awareness of policies and procedures about the use of transport vehicles.*

Examples of evidence can include:

Interview drivers to ascertain they are aware of policies and procedures in place of policies and procedures in place. This could be a checklist or evidence of completion of a relevant training course.

### **STANDARD 1.3 RESIDENT'S INVOLVEMENT IN DECISION MAKING**

*All residents are given the opportunity to be involved in decision making in the village.*

Residents have the right to work collaboratively with village management by participating in resident committees, for example by requesting the village's operating and income statements for appraisal, reviewing resident committee charter and minutes and records of disputes, comments and complaints. A consultative process is designed to assist management on village lifestyle and operations.

#### **Standard 1.3.1**

*Village management shall work collaboratively with Residents' Committees and assist as appropriate in accordance with applicable legislation.*

Examples of evidence can include:

- Resident committee meetings are held regularly;
- It is attended by village management or authorised personnel attend as required;
- Resident committee charter and copies of minutes;
- Documented records of disputes, comments and complaints with details of actions and resolutions;
- Confirmation from residents that residents do have or are able to participate in a resident's committee.

#### **Standard 1.3.2**

*A system is in place that ensures residents can access information about the finances of the village, consistent with the relevant legislation.*

Examples of evidence can include:

- Copy of any financial statements i.e. AGM, operational, budgets that are presented to and considered by the Residents' Committee.
- Evidence that residents are each provided with copies of such statements well before the meeting
- Confirm with residents that they are readily available for viewing and for comments
- Evidence of general meetings i.e. minutes
- Minutes of AGM

#### **Standard 1.3.3**

*Residents are consulted on key management decisions that could impact operations of the village.*

Examples of evidence can include:

- Management keeps residents informed and invites feedback on relevant management decisions that would affect operations of the village

## **STANDARD 1.4 CONTINUOUS IMPROVEMENT PROGRAM**

*A system is in place to ensure continuous improvement of village operations. .*

Certification is critical in today's ever-increasing quality-conscious market place. Residents are better educated and demand higher quality more than ever before. Certification supports improvement in all aspects of village life, from infrastructure, process and policy, to staff performance. The result is improved quality of resident services. A demonstrated commitment to quality through continual improvement ensures the village is legitimate, credible and integral, reflecting positively for the operator, our industry and the community.

### **Standard 1.4.1**

*A system is in place to monitor service delivery and resident satisfaction.*

Examples of evidence can include:

- Discussions with staff and village management
- Resident surveys, regular meetings of residents, the compliments and concerns process and individual resident contact
- Existence of a continual improvement plan, including systems to implement the plan

### **Standard 1.4.2**

*Residents are given the opportunity to be involved in a continuous improvement program for the village, in partnership with staff.*

Examples of evidence can include:

- Open door policy of management and interaction with residents
- Discussion with staff and village management and residents
- Resident surveys, regular meetings of residents, the compliments and concerns process and individual resident contact

### **Standard 1.4.3**

*Management shall maintain a continual improvement plan, which details proposed actions and completion deadlines.*

Examples of evidence can include:

- Continual improvement plan and any supporting documents i.e. survey results, staff and resident meeting minutes, site suggestion box etc.



## 2. SUPPORT (4 STANDARDS)

### STANDARD 2.1 RESIDENT INFORMATION

*Prospective residents are given information about the rules and policies of the village before signing a contract.*

This standard requires a village to demonstrate its systems and processes and to ensure transparent and current written information is provided to all prospective residents.

A prospective resident faces a large amount of complex material including public information and entry documents before committing to enter into a retirement village. It is vital prospective residents receive comprehensive and current information that meets statutory obligations. This will assist them to form an accurate opinion as to whether the village will meet their needs. Prospective residents shall be given the opportunity to meet with village management or an authorised representative to assist them in making an informed decision.

Management and staff have a responsibility to provide prospective residents with information that meets legislative requirements.

#### **Standard 2.1.1**

*A system is in place so that residents receive current documented information in relation to:*

- *Any relevant contractual information and conditions or exceptions*
- *Any relevant financial arrangements – in particular exit, entry and duration costs*
- *Services, facilities and village activities*
- *Any additional service and care options including costs*
- *Likely future building developments (if any) in the village that could impact the amenity of residents.*

Independent auditors need to sight what documents a village provides to its prospective residents. They need to ensure that the prospective resident is provided the information as stated in the criteria. Independent auditors also need to verify via interview with current residents that they were provided information about the conditions of residence prior to moving in.

Examples of evidence can include:

- Public information document
- Marketing material and literature
- Disclosure document
- Other relevant documents that specify the criteria listed above
- Confirmation from current residents they were informed of the conditions of residence prior to moving in

**Standard 2.1.2**

*A system is in place that demonstrates the village provides relevant information to residents about fees and charges, which comply with statutory obligations.*

The auditor will need to sight what documents the village is providing to the resident and assess whether the information does comply with statutory obligations. The auditor may also need to interview the village staff who are responsible for providing this information to residents as well as seeking confirmation from the resident.

Examples of evidence can include:

- A letter from a solicitor stating the contract meets all legislative requirements
- Ongoing costs (service fees) disclosed in Resident Agreement at time of purchase in accordance with relevant statute
- Residents are informed that there are standard industry contracts available from specialist firms, and are given contact information for these firms
- Confirmation from residents about relevant disclosure.

**Standard 2.1.3**

*A system is in place to ensure that management meets with incoming residents, to facilitate informed decisions prior to executing a contract.*

Independent surveyors can assess this standard by interviewing current residents to check if they were given the chance to meet with management or an authorised representative prior to signing any contracts.

Examples of evidence can include:

- Confirmation from residents;
- Written evidence from staff about what was sent or given to residents prior to asking them to sign a contract.

**Standard 2.1.4**

*Residents receive information that is accurate, clear, and consistent with relevant legislation.*

The auditor should sight the documents the village is providing to the prospective resident and ensure they comply with relevant legislation.

Examples of evidence includes:

- Confirmation from residents they were provided documents
- Documents the village provides to residents such as marketing material



## **STANDARD 2.2 NEW RESIDENT ORIENTATION**

*A system is in place to ensure that incoming residents receive orientation and induction into the village.*

Orientation provides an excellent opportunity to welcome the new resident. Residents moving into a retirement village have made a major lifestyle change decision. Providing a current and comprehensive orientation assists the new resident transition as smoothly and as seamlessly as possible into their new home.

The success of the orientation program content and its delivery method will impact the rate at which a resident becomes familiar with the village: its amenities and environment, and key processes such as dispute resolution, resident feedback and emergency procedures. .

### **Standard 2.2.1**

*All residents shall be provided with an orientation program*

To ensure the village has met the standard, the auditor will need to confirm with current residents they were provided with an orientation opportunity when they moved into the village. The auditor may also sight the documents a village provides to new residents such as a resident information book, induction checklist and whether there is a buddy-mentoring system in place.

Examples of evidence can include:

- Confirmation from residents that they were provided with an entry orientation program from the village
- Documented induction program
  - formal meeting with the village staff
  - buddy-mentoring system in place
  - resident information book
  - site plan
- The above documentation should be current, and have the date of publication included

### **Standard 2.2.2**

*New residents will receive documented information (i.e. an induction package) about the village lifestyle. This should include (but is not limited to):*

- staff contact information
- dispute resolution and complaints processes
- village facilities and services
- emergency processes (including disaster plans, fire safety and emergency call systems).

Examples of evidence can include:

- Resident information book and site plan, and evidence it is provided to all new residents
- The schedule of services and costs provided to residents
- Confirmation from residents that they were provided with information detailing available services.
- Documented evidence i.e. monthly activity calendar, activities on noticeboards, village newsletter
- Confirmation from residents and staff that they are provided information on activities and facilities.
- Dispute resolution procedure and/or comments and complaints policy or process i.e. in the public information document
- Confirm with residents they are informed of the dispute resolution procedure and how they can use it
- Documented records of disputes, comments and complaints with details of actions and resolutions

## **STANDARD 2.3 COMMUNICATION**

*A documented system is in place that facilitates effective communication between the village management and residents.*

Open communication between residents and management is a fundamental driver in building sound management/resident relations. Residents require access to village management, which is key to receiving constructive resident input to assist management in making informed decisions within the village.

### **Standard 2.3.1**

*Residents shall be supplied with relevant information that keeps them informed of issues pertaining to the village*

Examples of evidence can include:

- Communication system i.e. village newsletter(s), magazine, notices, gatherings, and/or intranet
- The above documentation should be current, and have the date of publication included
- Confirmation from residents that they are aware of all the available communication tools

### **Standard 2.3.2**

*A process shall be in place for residents to have access to management.*

Examples of evidence can include:

- Policy. E.g. Service Offering Policy
- Confirmation with residents that they are able to meet with management on a reasonable and timely basis.

## **STANDARD 2.4 RESIDENT SATISFACTION**

*A system exists that enables residents to provide feedback and have input into the daily operations of the village.*

Resident feedback is necessary to ensure continual improvement. Resident expectations change with time and village service delivery levels can also vary. It is essential residents have access to a management feedback system, both informal and formal, to provide village feedback. Resident feedback is an invaluable tool, supporting management in delivering improved village services, enhancing resident satisfaction and the village brand.

### **Standard 2.4.1**

*A system is in place that enables residents to provide feedback about the daily operations of the village. The village will demonstrate all resident feedback is responded to in a fair and timely way.*

Examples of evidence can include:

- Written policy or confirm open door policy with residents
- A system such as a 'Compliments, Comments, and Concerns' form or a suggestion box that is freely available to residents
- The ability for residents to communicate with village management or a member of resident committee who would raise any issues at committee meetings at which the Manager attends.
- Confirmation from residents
- Social or residents committee minutes of meetings
- AGM minutes

### **Standard 2.4.2**

*Formal survey and informal comment collection systems shall exist for residents to provide feedback that is recorded and reviewed on their general level of satisfaction with services and operations and list actions for continual improvement*

Examples of evidence can include:

- Annual resident satisfaction survey is carried out. Survey results are available to residents.
- Most recent village resident survey/questionnaire distributed or other method of feedback
- All relevant information gathered from residents as to the operation of the village is actioned through the continuous improvement plan.
- Records of meetings where management seeks feedback and suggestion for continuous improvement
- Comments/suggestions blank forms and boxes placed in convenient locations



### 3. PEOPLE/STAFF (5 STANDARDS)

#### STANDARD 3.1 RESIDENT DIGNITY AND PRIVACY

*Residents are treated equally and courteously, and their privacy and dignity is respected.*

Residents not only live in a village, they are living in their home. As with any residence, a person has a right to expect their dignity, privacy and individuality will be observed at all times. Village policies and procedures should be designed to ensure management and staff follow processes that support this outcome.

##### **Standard 3.1.1**

*A demonstrable system and set of policies is in place to ensure that staff respect the privacy, dignity, diversity and individuality of residents. This includes (but is not limited to) the following:*

- *Ensuring privacy of information pertaining to each individual resident, in accordance with privacy laws;*
- *Ensuring residents are treated in a friendly, courteous and respectful way*
- *A policy is in place to prohibit entry to residents' units or apartments without their permission, unless in case of an emergency*

The auditor will need to sight village policies and procedures that protect resident's privacy.

Examples of evidence can include:

- Village policies and procedures that ensure resident dignity, privacy and confidentiality and comply with current privacy legislation;
- Employees sign a code of conduct as part of their employee agreement;
- Ensure that all residents personal files are kept in a locked filing cabinet and/or password protected electronic format;
- Confirmation from residents that they receive a copy of the privacy policy in the resident handbook; that they feel that staff and management are respectful and friendly; and that there is a policy on entry resident's units/apartments by staff and tradespeople.

## **STANDARD 3.2 EMPLOYMENT PRACTICES**

*The village management has effective employment practices.*

*Exclusion: Volunteer organised and engaged by a resident for his/her own purposes.*

Competent staff and village-sourced volunteers are integral to delivering effective resident based village services.

Policies on recruitment, training and development, and performance management of staff and village-sourced volunteers are critical to retention. Good quality HR and employment practices are also essential.

### **Standard 3.2.1**

*Paid staff, along with sound volunteer recruitment & selection processes, shall ensure the competence of staff to perform their role, consistent with their position and responsibilities.*

Examples of evidence can include:

- HR policy manual
- Discussion with staff and village management
- Supporting documents such as position descriptions, competency checklists, interview templates etc.

### **Standard 3.2.2**

*Village management, staff and volunteers are employed with a contract or letter of employment/appointment, which is consistent with relevant regulatory requirements.*

Examples of evidence can include:

- Employment contracts or Awards
- There is a process of review of compliance with Fair Work and WorkCover legislation, Awards, and workplace agreements entered into by the village
- Contract or letter of employment/appointment

### **Standard 3.2.3**

*The village has position descriptions and conditions of employment for all staff. Any material changes are communicated to the village (both staff and residents).*

Examples of evidence can include:

- Verify there is a review process in place by HR or legal department
- Sight dates reviewed, register etc.

**Standard 3.2.4**

*The village has a system that ensures staff records and personal information is kept confidential and secure.*

Examples of evidence can include:

- Confirm records are kept in a locked filing cabinet or password protected electronic system

**Standard 3.2.5**

*A documented system shall be in place that facilitates communication between management and staff relating but not limited to:*

- Village Policies & Procedures
- Compliance with relevant legislation
- OH&S policies and practices
- Resident satisfaction feedback and measures
- Continuous improvement
- Staff training and development
- *Any other relevant policies and practices of the village that contribute to resident lifestyle.*

Examples of evidence can include:

- Staff handbook, minutes of staff meetings, code of conduct, policy and procedures manual, staff training schedule
- Discussion with staff and village management

**Standard 3.2.6**

*A pre-employment National Police Certificate for new employees and external volunteers shall be obtained prior to commencing work at the village. Police checks shall be recorded in a staff and volunteer police check register.*

Examples of evidence can include:

- Police check register

**Standard 3.2.7**

*Village management shall be an equal opportunity employer and demonstrate commitment to diversity and equity within the workplace.*

Examples of evidence can include:

- Diversity and equity policy i.e. discrimination, bullying, harassment;
- Records of staff gender breakdown and other diversity analysis.

**Standard 3.2.8**

*Village management shall have a Code of Conduct or policies and procedures to provide guidance to its employees and volunteers about the personal and ethical standards expected of them.*

Examples of evidence can include:

- Code of conduct;
- Rules or guidance on dress, working hours, greeting residents, privacy, use of intellectual property, receipt of gifts, conflict of interest, no drugs & alcohol, care for company property

### **STANDARD 3.3 NEW STAFF ORIENTATION**

*A system is in place that ensures all new staff (including volunteers) are well informed about the philosophy and objectives of the village, including policies and procedures.*

The quality of staff and volunteer orientation impacts the rate at which a new person assimilates and begins to add value. Beyond providing information about the organisation's policies and procedures, a successful orientation will assist in making the new employee or volunteer feel comfortable, helping them to learn about their role and align with the organisation's culture and values.

#### **Standard 3.3.1**

*A system is in place that ensures that staff and volunteers receive early training in:*

- Policies and procedures of the village
- The philosophy, objectives and structure of the village
- Occupational Health & Safety and safe working practices
- Emergency procedures
- *Staff behavioural expectations*

Examples of evidence can include:

- Policy and procedure manual
- Staff handbook
- Induction program
- Policies and procedures or code of conduct
- Staff training records
- Interviews with staff and management



### **STANDARD 3.4 PERFORMANCE MANAGEMENT**

*Village staff get regular and constructive feedback on their performance and are provided with opportunities for relevant professional and personal development.*

Feedback to staff and volunteers (on a regular informal and annualised formal basis) should focus on continual improvement, and identifying training and professional development needs.

#### **Standard 3.4.1**

*A policy and system to implement it exists for village staff and volunteers to:*

- Receive regular feedback on performance
- *Have formal work performance reviews in accordance with village employment policy*

Examples of evidence can include:

- Policy and procedure manual regarding performance management
- *Review forms, dates conducted, self-assessment forms*

#### **Standard 3.4.2**

*There is a system in place that ensures performance management of the whole staff team, including identifying and responding to staff needs and training and development requirements.*

Examples of evidence can include:

- PD program
- Staff training records/calendar
- Performance reviews
- *Discussion with staff*

### **STANDARD 3.5 PEOPLE DEVELOPMENT**

*Staff (including regular volunteers) are trained and developed in accordance with an identified development / improvement plan, which is relevant to their skills and knowledge as it relates to their role.*

Sound training and development of village management, staff and volunteers is essential to maintaining and improving service delivery within a retirement village. Documented educational opportunities should align with enhancing knowledge and skills to deliver service, to meet regulatory and operational requirements.

#### **Standard 3.5.1**

*Staff (including regular volunteers) are trained and developed in accordance with an identified plan which relates to their skills, knowledge and their role.*

Examples of evidence can include:

- Staff training calendar or register
- Discussion with village management & staff interviews
- Training budgets
- Staff training records/certificates

#### **Standard 3.5.2**

*The village maintains accurate and up-to-date records of staff training and development.*

Examples of evidence can include:

- Staff training records/calendar
- Performance reviews
- Discussion with management & staff interviews
- Copies of staff training qualifications, certificates etc.



## 4. SAFETY (4 STANDARDS)

### STANDARD 4.1 SAFETY AND SECURITY

*The village is safe and there is a demonstrated commitment to the lifestyle, safety and security of residents and staff.*

A retirement village is both a workplace to staff and contractors and a home to residents. It is the responsibility of the village operator to ensure the work and home environment is safe and secure for all staff, contractors, residents and visitors.

The village is also responsible for ensuring there are workplace safety and security policies and systems in place, meeting relevant regulatory requirements, to reduce risks and to promote safety and security within the village.

#### **Standard 4.1.1**

##### *Buildings and Grounds*

*A system is in place that ensures common buildings and grounds facilitate safe access, mobility and use for older persons, staff and visitors.*

Examples of evidence can include:

- Observation i.e. easily accessible buildings, rails on steps, stairs, lighting on stairwells
- Facilitate access by wheelchair
- Resident interviews
- Survey results
- Discussion with residents
- Observation of grounds and gardens
- Older person-friendly seats in waiting areas in the village e.g. pick up zones

#### **Standard 4.1.2**

Swimming Pool, Spa and Sauna (where the facility is provided)

- A system is in place that documents the relevant safety procedures including security and water hygiene systems in accordance with regulatory requirements;
- Pool areas are fenced in accordance with relevant regulatory requirements;
- Rescue devices (e.g. personal floatation) are in accordance with the relevant regulations;
- Pool rules and emergency procedures are displayed prominently in the proximity of the facilities;
- Pool, spa and sauna areas are accessible by emergency staff (e.g. ambulance trolley).

Examples of evidence include:

- Current pool licence; documented safety procedures
- Fence around pool
- Pool rules, buoy, emergency information
- Pool cleaning records, local authority testing

### **Standard 4.1.3**

#### *Security*

- Village security policy and procedures shall be documented.
- Residents shall be informed of relevant security systems and procedures in the village
- Village management shall have policies and procedures aimed at protecting residents and their property from intruders
- Village management shall have policies and procedures aimed at protecting village property from intruders.

Examples of evidence can include:

- Documented policies and procedures
- Discussion with residents, newsletter etc.
- Resident survey

### **Standard 4.1.4**

#### *Lighting*

*Village roads, paths, under-building car parks and entry/exit points to communal buildings shall be illuminated to allow safe access by residents in the absence of sufficient natural light.*

Examples of evidence can include:

- Inspection of village grounds.
- Discussion with residents
- Emergency lighting plans and operational checks

### **Standard 4.1.5**

#### *Village Roads*

*Village management shall have policies and procedures for safe road use including speed restrictions, vehicle and pedestrian traffic routes identified and marked, and signed shared traffic areas.*

Examples of evidence can include:

- Speed signs;
- Incident report mechanisms and subsequent risk assessments

## **STANDARD 4.2 SIGNAGE**

*Relevant signage is clearly displayed in the village*

Clear retirement village signage supports residents, visitors, staff and emergency services in accessing village units and community facilities as part of everyday life and in the case of an emergency. The village is obligated to display clear directional signage, including visible unit numbers and an accessible village/site plan in the event of an emergency situation.

### **Standard 4.2.1**

*The village has directional signage to assist visitors and emergency services to locate village units, as well as administrative and community facilities.*

Examples of evidence can include:

- Appropriate signage is in place

### **Standard 4.2.2**

*Each unit has a number that is visible to the street (where appropriate) and (where relevant) all streets are signposted.*

Examples of evidence can include:

- Unit numbers are in place
- Village streets visible

### **Standard 4.2.3**

*There is a documented process in place that ensures local emergency services are aware of the village access and layout in the event of an emergency, critical event etc.*

Examples of evidence can include:

- Village plans/map provided to emergency services or plans/maps located in a central location in the village

### **STANDARD 4.3 EMERGENCY CALL SYSTEM**

*There is a demonstrated process in place that ensures all village staff and residents have annual training in use of the emergency call system.*

An emergency call system provides the resident with peace of mind that should an untoward event occur, assistance is available. A management, staff and resident orientation and training program is necessary. These must be supported by robust emergency call system procedures, to ensure call points are correctly installed, regular system checks and are and records are kept.

#### **Standard 4.3.1**

*There is a demonstrated process in place that ensures that village staff and residents have annual training in use of the emergency call system.*

Examples of evidence can include:

- Discussion with staff and residents
- Staff training records

#### **Standard 4.3.2**

*Emergency Call System Procedures*

- The village has documented procedures in place that can be readily accessed by staff
- The village has a system in place to facility access to units in the event of an emergency and at all times
- There is a system in place for staff education, training and development

Examples of evidence can include:

- Emergency procedures/manual
- Emergency procedures/manual in residents handbook or equivalent
- Master key system

#### **Standard 4.3.3**

- Emergency call points are located within enclosed common areas, in easily accessible locations. Points are (at a minimum) included in the dining room, library, lounge, public toilets, pool, spa and/or sauna, craft room, workshop and basement car parks;
- Emergency call points are clearly identified

Examples of evidence can include:

- Emergency call points are installed in locations as stated in criteria

**Standard 4.3.4**

*The village has a documented system to check and record the emergency call system in accordance with the manufacturer's guidelines, or at least every six months.*

Examples of evidence can include:

- Maintenance records
- Policy or procedure emergency call system, which outlines testing and maintenance

**Standard 4.3.5**

*Where the village has a 24-hour emergency call system that is monitored internally, the responding staff or agency personnel should:*

- Hold a current First Aid Certificate (or a higher qualification)
- Have a documented process and records of the training in the use of emergency call system equipment.

Examples of evidence can include:

- Staff current first aid or higher qualifications

**Standard 4.3.6**

*Where the village has an emergency call system that is provided and/or monitored by an external third party, there is a system in place to ensure quality service and responsive outcomes for residents.*

Examples of evidence can include:

- Maintenance records
- Emergency call system procedures and policies

## **STANDARD 4.4 FIRE SAFETY, EMERGENCY AND DISASTER PLANNING**

*The village has procedures and policies that satisfy laws.*

Fire, disaster and evacuation policies and procedures, including orientation, regular staff training and resident communication; equipment inspection testing and records, incident reporting and corrective action, together with publically displayed evacuation plans and emergency points form part of the fire safety and disaster plan.

### **Standard 4.4.1**

#### *Fire*

- Staff undertake orientation and regular training in emergency fire procedures
- A system is in place to ensure that staff and residents understand fire safety and evacuation procedures
- Fire and emergency protection equipment and systems are regularly inspected as required by regulation by qualified persons, the results are noted and appropriate corrective action is taken

Examples of evidence can include:

- Staff training records/schedule and staff orientation program
- Fire and safety emergency evacuation procedures and policies
- Discussion with residents & staff
- Fire inspection records, continual improvement plan
- Testing records
- Incident reports relating to fire and disaster
- Fire appliance maintenance and logs
- Observation - fire exits, fire panel, fire fighting appliances

### **Standard 4.4.2**

#### *Disaster*

The village has documented policies and procedures for disaster events. There is documented evidence of staff training and development in regards to disaster response.

Examples of evidence can include:

- Disaster management plan
- *Written procedures and staff training records/manual*

### **Standard 4.4.3**

#### *Evacuation*

- Residents and staff are made aware of designated assembly points in the event of an evacuation
- Evacuation Plans are clearly displayed in common areas



- Village management shall convene a practice resident and staff evacuation of Building Code of Australia class 3, 6 and 9 buildings at least once per year, record the time taken, note any issues in evacuating particular residents, prepare an action plan to mitigate risk to those residents and implement the action plan in a timely manner
- Personal Emergency Evacuation Plans (PEEP) shall be developed for residents identified as requiring assistance

Examples of evidence can include:

- Training records
- Discussion with residents
- Evacuations documented and actions taken
- Evacuation plans are clearly displayed throughout village

***Standard 4.4.4***

*Relevant emergency and other important contact numbers are accessible by all staff.*

Examples of evidence can include:

- Emergency contact numbers



## 5. REGULATIONS (5 STANDARDS)

### STANDARD 5.1 FOOD/CATERING SERVICES

*Where a village provides food (or it is provided by a third party on behalf of the village), food handling and safety practices shall meet the relevant regulatory requirements.*

*Note: this standard does not apply to residents preparing food for themselves or directly engaging a third party to prepare food on their behalf.*

Regulated food safety practices are designed to maintain food safety standards, ensuring the wholesomeness and purity of food. Residents need to feel assured that village caterers (including contracted services) prepare, handle, store, display and sell food which is safe and suitable for residents/visitors and accommodates individual residents' dietary requirements.

#### **Standard 5.1.1**

*There is a system in place to ensure handling and safety practices meet the relevant regulatory requirements.*

It is the responsibility of the village that any food contractors employed by the village also meet food safety standards.

Examples of evidence can include:

- Food notification from relevant food safety authority and list date(s) provided i.e. date issued and/or expiry
- Individual food safety certificates
- Confirmation from residents that they are communicated on menu planning and meals
- Inspection of kitchen and observe food temperature logs etc.

#### **Standard 5.1.2**

*Where the village uses the services of a third party to provide food, there is a system in place to ensure the third party's food handling and safety practices meet the relevant regulatory requirements.*

It is the responsibility of the village that any food contractors appointed by a resident in a communal setting also meets food safety standards.

Examples of evidence can include:

- Food notification from relevant food safety authority and list date(s) provided i.e. date issued and/or expiry
- Individual food safety certificates

- Confirmation from residents that they are communicated on menu planning and meals
- Inspection of kitchen and observe food temperature logs etc.
- Contractors must have an ABN, police check and insurance

**Standard 5.1.3**

*Where village residents appoint a third party to provide food to the village (i.e. for a special event), the village will have a system in place to ensure the third party's food handling and safety practices meet the relevant regulatory requirements.*

Examples of evidence can include:

- Food notification from relevant food safety authority and list date(s) provided i.e. date issued and/or expiry
- Individual food safety certificates
- Confirmation from residents that they are communicated on menu planning and meals
- Inspection of kitchen and observe food temperature logs etc.
- Contractors must have an ABN, police check and insurance

## **STANDARD 5.2 CONTRACTUAL AND FINANCIAL**

*The village has a documented system in place relating to the contractual and financial arrangements with residents, consistent with the relevant regulatory requirements.*

Clearly documented and adequately explained resident contractual financial fees and charges, coupled with regulatory disclosure statements, must be current and available to all residents, including prospective and former residents.

A robust system for establishing and billing is required to support contractual and financial arrangements.

### **Standard 5.2.1**

*The village will have a documented system for setting and collecting fees for general charges and user-pays services (as it relates to both residents and former residents) and can be made available on request to residents.*

Examples of evidence can include:

- Documents that ensure they detail all fees and charges applicable i.e. public information document, promotional material, budgets, DMF, departure fees, exit fees, capital gains
- Any information sheets issued to prospective residents sighted that clearly list and explain all such fees
- Confirmation from residents and also village manager or sales manager

### **Standard 5.2.2**

Village disclosure documentation complies with relevant regulatory requirements and provide residents with clear information regarding:

- Conditions on exiting the village (e.g.. fees retained by operator, any relevant deductions)
- Any resident liability for ongoing fees after vacating the village (e.g. service charges)
- Any other relevant conditions or information

Examples of evidence can include:

- Public information document, marketing literature
- Discussion with sales or village manager and residents

### **STANDARD 5.3 REGULATORY COMPLIANCE**

*The village has a documented system that articulates its compliance with the relevant retirement village regulation.*

A system alerting management of legislative changes, triggering review mechanisms and amendment of policies and procedures, including contract and disclosure statements revision, is paramount to maintain regulatory compliance.

An annual review system of the village's disclosure statement and resident contract documents, triggered by further reviews when legislation changes, is mandatory.

#### **Standard 5.3.1**

*The village has a documented system that articulates its compliance with the relevant regulations (eg State and Territory Act).*

Examples of evidence can include:

- Village management has a process in place to review and monitor relevant changes in legislation and regulations, and update contractual and disclosure documents accordingly

#### **Standard 5.3.2**

*The village has a documented system to review its policies, practices and operational processes to ensure it addresses any changes in legislation (to maintain compliance with the relevant regulations).*

Examples of evidence can include:

- Village management has a process in place to review and monitor relevant changes in legislation and regulations, and update contractual and disclosure documents accordingly
- Policies and procedures relating to regulatory requirements

#### **Standard 5.3.3**

The village has a staff development and training program in place to ensure it addresses any changes in legislation (to maintain compliance with the relevant regulations).

Staff shall receive training or instruction in any changes to legislation.

Examples of evidence can include:

- Discussion with staff
- Policy in place on training
- Minutes of staff meetings
- Memos or internal communication in place

**Standard 5.3.4**

*A system shall be in place for review by a legal practitioner of the village's disclosure statement and resident contract documents on an annual basis or following changes in applicable legislation*

Examples of evidence can include:

- A review of legal & disclosure documents either when the legislation changes, or other changes are made is in place
- Letter from a solicitor stating that current disclosure statement and residents' contractual documentation meets all relevant regulatory requirements within 12 months of the previous audit or 3 months from the last Retirement Villages Act change

## **STANDARD 5.4 OCCUPATIONAL HEALTH AND SAFETY**

*The village has a system in place that ensures a workplace health and safety program that complies with current relevant regulatory requirements.*

An effective workplace health and safety program compliant with relevant legislation, is the key to maintaining a healthy and safe village environment for staff, contractors, residents and visitors.

Workplace health and safety is the village operator's responsibility.

System, policies and procedures including relevant reporting tools, review mechanisms, risk management, documented evidence collation, corrective actions and staff/contractor training must demonstrate adherence to all legislative requirements.

### **Standard 5.4.1**

*The village has a system that ensures Occupational Health & Safety (OH&S) policies and procedures are in place.*

Examples of evidence can include:

- OHS policies & procedures, an index of the OH&S policies/procedures
- Relevant signs and notices within village

### **Standard 5.4.2**

*The village has a system that ensures staff are effectively trained in respect to their OH&S responsibilities.*

Examples of evidence can include:

- OHS items on staff meeting agendas/minutes
- Staff certificates showing OHS relevant to their work
- Staff training plans

### **Standard 5.4.3**

*The village has a documented system that ensures regular and consistent reviews are in place (which cover risk identification and management and continuous improvement program).*

Examples of evidence can include:

- Continual improvement plan
- Hazard reports
- OHS agenda items on meetings
- OHS audit documents
- OHS risk management schedule
- Other supporting documents

**Standard 5.4.4**

*The village has a documented system that enables management to identify, report, remove or mitigate any hazards.*

*Any remediation actions to address identified risks are documented by the village.*

Examples of evidence can include:

- OH&S policies and procedures
- Hazard forms
- Incident forms
- Risk assessment tools
- OHS items on staff meeting agendas
- OHS templates
- OHS systems audit
- Environmental surveys
- OHS systems audits & environmental surveys of hazardous areas in the village including but not limited to- roads and paths, community centre entrances & exits, kitchen, workshop, pool, spa, sauna, gymnasium, maintenance shed

**Standard 5.4.5**

*The village has hazard warning signage, safety barriers and equipment as required.*

Examples of evidence can include:

- Signage, equipment and safety barriers are in place

**Standard 5.4.6**

*The village has a system in place to record incidents, actions taken and any relevant causal information that assists in the continuous improvement program.*

Examples of evidence can include:

- Incident reports
- Causal analysis
- Follow-up action

**Standard 5.4.7**

*A system is in place to ensure contractors undertaking work in the village are required to comply with OH&S legislation and specific village requirements.*

Examples of evidence can include:

- OH&S policies and procedures



- Hazard forms
- Incident forms
- Risk assessment tools
- OHS items on staff meeting agendas
- OHS templates
- OHS systems audit
- Environmental surveys
- OHS systems audits & environmental surveys of hazardous areas in the village including but not limited to- roads and paths, community centre entrances & exits, kitchen, workshop, pool, spa, sauna, gymnasium, maintenance shed

## **STANDARD 5.5 INSURANCE**

*The village has insurance for any foreseeable risks to assets and operations, residents, staff and visitors, in accordance with legislated village standards.*

Village insurance cover risk can best be mitigated by an operator's risk assessment to ensure all relevant insurance cover types are in place, including legislative insurance policy requirements, insurance cover dollar (\$) levels are adequate, current certificates of currency are evidenced and the continual improvement plan tracks each claim.

### **Standard 5.5.1**

The village has relevant insurance cover for (but not limited to):

- Building / plant / grounds
- Public liability and professional indemnity
- Worker's compensation
- Vehicle (if applicable)
- Volunteers insurance (where applicable)
- Officer bearers / Directors insurances (where applicable)
- Any other relevant insurances to cover foreseeable risks in the village

Examples of evidence can include:

- Current certificate of currency for each type of insurance taken out

### **Standard 5.5.2**

*A replacement cost estimate, which includes the costs of reinstatement of buildings and plant to its condition when new, removal of debris and architects and professional advisers fees, shall be obtained at least every 5 years or in accordance with applicable legislation and used in assessing building and plant insurance premiums.*

Examples of evidence can include:

- Replacement cost estimate

### **Standard 5.5.3**

*The village has a system to record any claims or insurance risks, including relevant actions that contribute to the continuous improvement program for the village.*

Examples of evidence can include:

- Completed claim forms or a register of current insurance claims i.e. intranet system and compare with continual improvement plan
- Discussion with manager/staff



## 6. VILLAGE POLICY (4 STANDARDS)

### STANDARD 6.1 DISPUTE RESOLUTION/FEEDBACK

*The village has a documented dispute resolution system and appropriate processes to enable residents to make complaints and provide feedback to management.*

Where a dispute, comment or complaint arises, a dispute resolution policy and procedure must be applied that requires the recording of each dispute, comment and complaint, with the corresponding action or resolution.

#### **Standard 6.1.1**

*The village has a dispute resolution/complaints and feedback policy and system, which must accords with relevant legislation*

Examples of evidence can include:

- Dispute resolution procedure and/or comments and complaints policy or process i.e. in the public information document or resident handbook

#### **Standard 6.1.2**

*The village maintains documented records of disputes, feedback and complaints including relevant actions and resolutions.*

Examples of evidence can include:

- Complaints register record or documented disputes maintained by the village
- Confirmation from residents

## **STANDARD 6.2 ANNUAL/GENERAL MEETINGS OF RESIDENTS**

*The village has a system to ensure that Annual or General meetings with the resident community or their representatives each occur in line with regulatory requirements.*

Residents shall receive the agenda and financial statements prior to the Annual or General Meeting of residents. Residents have a right to ask questions or make comments at the meeting and to receive timely responses.

Meeting minutes should be taken and made available to residents.

### **Standard 6.2.1**

*The village makes available to residents the agenda and relevant financial and other statements in advance of the Annual or General meetings in line with the relevant legislation.*

Examples of evidence can include:

- Agenda, statement of income & expenditure, copies of financial statements, budget documents
- Discussion with residents the documents are provided prior to meetings
- Meeting minutes, votes

### **Standard 6.2.2**

*A system shall be in place for management to provide an opportunity for residents to raise questions and/or make comments to be addressed at the meeting and to provide timely responses to resident enquiries.*

Examples of evidence can include:

- Confirmation from residents they have the opportunity to consider and comment on financials at resident committee meetings; and through manager's open door policy and the annual general meeting
- Documented evidence i.e. a letter to all residents - well in advance of a notice of each meeting
- Discussion with residents that management provides responses to resident enquiries
- Copy of responses, letters etc.

### **Standard 6.2.3**

*The village maintains an accurate record of the minutes of Annual or General meetings with residents, which can be made available to all residents upon request.*

Examples of evidence can include:

- Minutes kept of meetings

### **STANDARD 6.3 POLICIES AND PROCEDURES**

*The village has a system in place that ensures its operational policies and procedures are documented and regularly reviewed.*

A policies and procedures cyclical review process needs to be aligned with best practice and ongoing regulatory compliance. It needs to clearly document implementation updates and evidence, ensuring management, staff and contractors are informed of changes impacting their work.

#### **Standard 6.3.1**

*Policies and procedures, which meet relevant regulatory and best practice requirements shall be established in relation to: regulations; safety; people/staff; support; village policy and lifestyle.*

Examples of evidence can include:

- Policies & procedure manual is available and current

#### **Standard 6.3.2**

*The village has a system in place to ensure there is a regular review of policies and procedures.*

Examples of evidence can include:

- Policies & procedure manual is available and current
- Review of policies & procedures
- Discussion with staff and village management
- Review dates are current
- Frequency of review
- Demonstrate what updates have occurred since last review

#### **Standard 6.3.3**

*The village has a system in place (and maintains records of updates) that ensures staff (including contractors) are made aware of relevant policies and procedures and (where applicable) any changes that relate to their jobs.*

Examples of evidence can include:

- Discussion with staff and village management
- Policies and procedures manual and that it is accessible for all staff i.e. intranet, memos etc.
- Forms signed off by staff

## **STANDARD 6.4 MAINTENANCE**

*The village has a documented system in place that ensures buildings; grounds and all equipment are maintained in working order.*

Accurate records of the maintenance program are kept.

The village has a documented review program to ensure the safety and reliability of all equipment.

Village operators must maintain a legislatively compliant preventative maintenance program, encompassing plant and equipment and lifts where installed, to mitigate hazards and risks.

A process of contractor orientation and the sighting and recording of contractor evidence such as relevant contractor work practice licences, insurances and police checks is required before any contractor works are commenced on site.

### **Standard 6.4.1**

#### *Maintenance Systems*

*The village has a corrective maintenance system to respond to any repair and maintenance needs. The village has documented records of identified maintenance and repairs. The village has a system in place for preventive maintenance (pertaining to buildings, plant, grounds and equipment). The village has a documented system to fund short, medium and long-term maintenance.*

Examples of evidence can include:

- An ongoing planned corrective maintenance program in place. Provisional sums for building maintenance are included within the approved budget
- Maintenance records, assets register or equivalent list of capital items to be maintained
- Incident reports specific to maintenance
- Planned preventative maintenance program
- QS Report (QLD), sinking fund, maintenance reserve funds etc.

### **Standard 6.4.2**

#### *Plant and Equipment*

The village has a system in place to ensure that appliances / equipment in common areas are serviced in accordance with the manufactures requirements and consistent with legal requirements.

A system is in place to ensure that residents are advised and trained in the appropriate use of any appliances or equipment provided by the village, where these are intended to be used by residents.

Examples of evidence can include:

- Service records and tags
- Electrical & emergency testing records
- Incident reports specific to maintenance
- Instructions are visible in village
- Discussion with residents

### **Standard 6.4.3**

#### *Lifts*

*The village has a system in place to ensure that lifts are maintained in accordance with the manufacturer's instructions and relevant regulatory requirements.*

Examples of evidence can include:

- Lift service records/logs

### **Standard 6.4.4**

#### *Contractors*

- Before commencing work on site, contractors are required to submit to village management evidence of appropriate licences and insurances for themselves and any staff and sub-contractors who will work in the village, and a Safe Work Statement as required by OH&S regulation and village management
- Village management orientates contractors, their staff and sub-contractors to the site as appropriate
- Village management requires contractors, their staff and sub-contractors to sign a contractor's register noting the time and date every time they enter and leave the site

Examples of evidence can include:

- Copies of appropriate licences, insurances, are on file
- Policy regarding contractor entry and exit from village and unit premises
- Contractor orientation program
- Discussion with contractors
- Contractor's register noting time and date
- Observe contractors on site

**END OF DOCUMENT**

## Appendix C

### Lifemark Village Symbol



1 Lifestyle (4 standards)



2 Support (4 standards)



3 People/staff (5 standards)



4 Safety (4 standards)



5 Regulations (5 standards)



6 Village policy (4 standards)



## **Appendix D**

### **Deed Poll**

**Deed Poll** by the party or parties in item 1 of Schedule 1 (**Village Owner and Operator**), dated the date specified in item 2 of Schedule 1.

In favour of:

- A. LIFEMARK VILLAGE PTY LTD** ACN 162 592 921, of level 1, 11 Barrack Street Sydney NSW 2000 (**Scheme Owner**); and
- B. PROPERTY COUNCIL OF AUSTRALIA LIMITED** ACN 008 474 422 of level 1, 11 Barrack Street, Sydney NSW 2000 (**PCA**); and
- C. the GRANTEES.**

**1. Definitions**

**Audit Team:** a team of one or more auditors that are appointed to carry out the Certification Assessment and audit activities.

**Certification Assessment:** the process through which the Village or Village Owner and Operator demonstrates to the Independent Certification Body that it has fulfilled the Certification Requirements of the Scheme.

**Certification Requirements:** Scheme Standards and all other Scheme requirements (for example payment of fees), which the Village or Village Owner and Operator are required to fulfil in order to be certified under the Scheme.

**Scheme Standards:** the Scheme standards, as published and updated from time to time by the Scheme Owner, which outline the minimum requirements that the Village and/or Village Owner and Operator are required to fulfil in order for the Village or Village Owner and Operator to be certified under the Scheme.

**Claim:** means any claim, action, proceeding or demand made against the person concerned, however it arises and whether it is present or future, fixed or unascertained, actual or contingent.

**Grantees:** means the Independent Certification Body, boards, committees and all external and internal personnel of all of the Independent Certification Body, and every member of the Audit Team, including any observers and the Members.

**Independent Certification Body:** BSI Australia (ACN 078 659 211), the impartial independent certification body that is contracted by the Scheme Owner to administer the Scheme.

**Member:** a financial member of the PCA.

**Scheme:** the Lifemark Village Scheme, owned by the Scheme Owner.

**Village:** the village owned and/or operated by the Village Owner and Operator.

**2. Acknowledgement of receipt of Scheme Rules and Scheme Standards**

The Village Owner and Operator acknowledges that it has received a copy of and read the "Scheme Rules" and the Scheme Standards - "Lifemark Village Scheme - A Six-Pillar Quality Assured Retirement Community".

**3. Limitation of liability, release and indemnity**

The Village Owner and Operator:

(a) acknowledges and agrees that neither the Scheme Owner, PCA or the Grantee will, at any time or times be held liable or responsible for any Claims, losses, damages, liability, costs or expenses which have been, or may in the future be, directly or indirectly suffered or incurred by the Village, the Village Owner and Operator or any person claiming through the Village, arising because of any act, omission or statement (whether negligent or otherwise) made pursuant to, during, or in consequence of:

- i. the granting of a certification under the Scheme;
- ii. the failure or refusal to grant a certification under the Scheme;
- iii. the Village or the Village Owner and Operator being certified under the Scheme;
- iv. removal of the Village or Village Owner and Operator's certification under the Scheme; or
- v. any dealing with the Village or Village Owner and Operator or in any way related to the Village or Village Owner and Operator,

and the Village Owner and Operator releases each of the Scheme Owner, PCA and the Grantees from all such liability and responsibility outlined in this clause and from all other liability that may arise from the Scheme and the Village Owner and Operator indemnifies each of the Scheme Owner, PCA and the Grantees with respect to the same; and

(b) indemnifies and will keep indemnified each of the Scheme Owner, PCA and the Grantees to the fullest extent permitted by law against any Claims, losses, damages, liability, costs or expenses that may be suffered or incurred by the Scheme Owner, PCA and/or the Grantees (whether jointly or severally):

- i. as a result of any act or omission by a resident of the Village;
- ii. as a result of any act or omission by the Village Owner and Operator; and
- iii. as a result of any legal action by a visitor to the Village.

**4.** Neither the release nor the indemnity set out in clause 3 above shall apply to benefit the Scheme Owner, PCA or the Grantees, where the loss or damage suffered or incurred by it is directly caused by the wilful misconduct of that party.

**SCHEDULE 1**

**Item 1:  
Village Owner and Operator**

**(A) Where the Village Owner and Operator are the same entity:**

Company name:

ACN:

Registered address:

**OR**

**(B) Where the Village Owner and Operator are different entities (complete both (i) and (ii):**

**(i) Village Owner**

Company name:

ACN:

Registered address:

**(ii) Village Operator**

Company name:

ACN:

Registered address:

**Item 2:  
Insert date of execution:**

---

**Document  
reference:**

**Version:**

**Operative date:**

**Approved by:**

**Application number:**

**WHEN VILLAGE OWNER AND OPERATOR ARE THE SAME ENTITIES**

**Executed as a Deed Poll**

*Note: the execution clause below is to be used where 2 directors are executing or a director plus the company secretary.*

**EXECUTED by VILLAGE OWNER/OPERATOR**

in accordance with section 127(1) of the )  
Corporations Act 2001 (Cth) acting by its )  
authorised officers: )  
)

\_\_\_\_\_  
Signature of Director

\_\_\_\_\_  
Signature of Director/Secretary

\_\_\_\_\_  
Name of Director

\_\_\_\_\_  
Name of Director/Secretary

**OR**

*Note: the execution clause below is to be used where 2 duly authorised representatives of the Village Owner/Operator are executing*

**EXECUTED for VILLAGE OWNER/OPERATOR**

by its duly authorised representatives:

\_\_\_\_\_  
Signature of Authorised Representative

\_\_\_\_\_  
Signature of Authorised Representative

\_\_\_\_\_  
Name of Authorised Representative

\_\_\_\_\_  
Name of Authorised Representative

**WHEN VILLAGE OWNER AND OPERATOR ARE DIFFERENT ENTITIES**

**Executed as a Deed Poll**

*Note: the execution clause below is to be used where 2 directors are executing or a director plus the company secretary.*

**EXECUTED** by **VILLAGE OWNER** in )  
accordance with section 127(1) of the )  
*Corporations Act 2001* (Cth) acting by its )  
authorised officers: )

\_\_\_\_\_  
Signature of Director

\_\_\_\_\_  
Signature of Director/Secretary

\_\_\_\_\_  
Name of Director

\_\_\_\_\_  
Name of Director/Secretary

**EXECUTED** by **VILLAGE OPERATOR** in )  
accordance with section 127(1) of the )  
*Corporations Act 2001* (Cth) acting by its )  
authorised officers: )  
)

\_\_\_\_\_  
Signature of Director

\_\_\_\_\_  
Signature of Director/Secretary

\_\_\_\_\_  
Name of Director

\_\_\_\_\_  
Name of Director/Secretary

**OR**

*Note: the execution clause below is to be used where 2 duly authorised representatives of the Village Owner/Operator are executing*

**Document  
reference:**

**Operative date:**

**Application number:**

**Version:**

**Approved by:**

**EXECUTED** for **VILLAGE OWNER** by its duly authorised representatives:

\_\_\_\_\_  
Signature of Authorised Representative

\_\_\_\_\_  
Signature of Authorised Representative

\_\_\_\_\_  
Name of Authorised Representative

\_\_\_\_\_  
Name of Authorised Representative

**EXECUTED** for **VILLAGE OPERATOR** by its duly authorised representatives:

\_\_\_\_\_  
Signature of Authorised Representative

\_\_\_\_\_  
Signature of Authorised Representative

\_\_\_\_\_  
Name of Authorised Representative

\_\_\_\_\_  
Name of Authorised Representative