

Archives New Zealand APPRAISAL REPORT

*Ministry of Housing, Housing
Corporation and State Advances
Corporation records*



JOB NO: OP 98/170

CONTRACT: No. 143

AGENCY: Ministry Of Housing

CONTACT: [name removed]
Information Analyst
📞 (04) 474 2023

ARCHIVIST: [name removed]
Appraisal Section
📞 (04) 499-5595

0.0 EXECUTIVE SUMMARY

This report outlines disposal recommendations for records created by Ministry of Housing and its predecessors.

The records appraised include card indexes inherited by the Ministry from its predecessors and date from the late 1930s through to the early 1990s. A one-off authority is sought for these records which are currently stored in the basement of Vogel House. The remainder of the records consist of forms received by the Ministry's Bond Centre to trigger tenancy bond transactions. As these forms are part of a current record series an on-going authority has been developed. The forms are held at the Centre's Porirua office and at a third party records storage facility.

A combination of background contextual research, physical examination and interviews with various stakeholders was employed in this appraisal. There are no appraisal precedents. The sole criterion for retention relates to a card index which provides a concise summary of membership to committees which had significant social / cultural impact.

Quantity of records covered by this appraisal: c.1262 lm

Quantity recommended for transfer as public archives: less than 0.25 lm (0.02%)

Quantity recommended for destruction: c.1262 lm (99.98%)

1.0 APPRAISAL CIRCUMSTANCES

During late December 1998 [name removed], Senior Librarian for the Ministry of Housing approached [name removed], National Archives' Head Archivist, Appraisal regarding the ad-hoc disposal of a small number card indexes inherited from the Ministry's predecessor agencies.

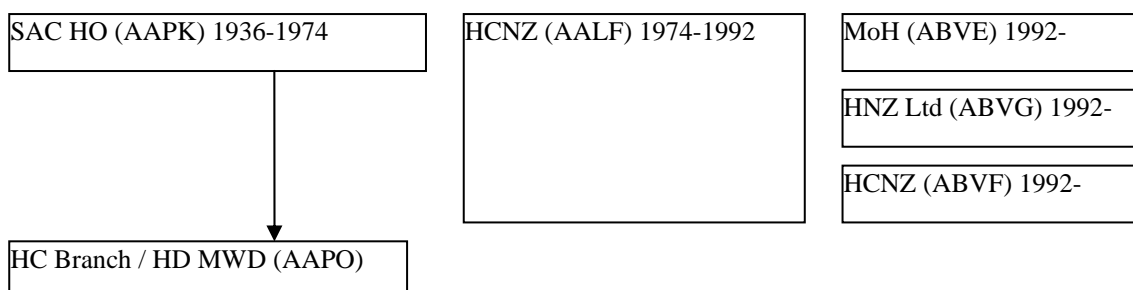
The project went no further until it was discussed between [name removed] and [name removed], the Ministry's Information Analyst, during December 2000. By this stage the Ministry had identified several other recordkeeping projects, one of which, the development of an on-going disposal authority for forms received by the Ministry's Bond Centre, was incorporated into the project to appraise the card indexes. The appraisal of the card indexes and forms was completed during February 2001.

2.0 AGENCY INFORMATION

The Ministry of Housing was established in 1992 and is one of three housing agencies created to succeed the Housing Corporation of New Zealand. The Ministry develops and analyses policy on housing issues and manages the functions of the Residential Tenancies Act 1986. The other two agencies are responsible for rental housing (Housing New Zealand) and the granting of residential loans (Housing Corporation).

The on-going authority developed in this appraisal refers to forms received by the Ministry's Bond Centre. The Centre, based in Porirua, collects, processes and repays tenancy bonds for the whole of New Zealand. In terms of organisational structure, the Centre reports to the Ministry's Tenancy Services Division.

The legacy records appraised in this project were created by the Housing Corporation of New Zealand and its predecessors, the State Advances Corporation's Head Office and Housing Construction Branch. A schematic diagram of the key agency relationships in the housing sector follows:



Copies of the GAIMS agency documentations for these agencies can be found in Appendix A.

3.0 METHODOLOGY

Since this project deals with both legacy records inherited by the Ministry of Housing (card indexes) as well as a sizeable quantity of records which are currently being created by the Ministry (Bond Centre forms), two types of disposal instruments have been developed. For the legacy records a one-off authority is the most appropriate instrument whereas for the Bond Centre forms an on-going authority is the obvious appraisal technique to employ.

The project itself employed a mix of background research, physical examination of records, and interviews. For example, Gael Ferguson's *Building the New Zealand Dream* was consulted with regard to the Housing Allocation Committees; interviews were held with [name removed] (Administration Officer) regarding the card indexes and with [name removed] (Bond Centre Manager) for the Centre's forms.

4.0 PRECEDENT

The card indexes have not been previously appraised by Archives New Zealand, however many of the records to which they relate have been accessioned.¹ It is thought by [name removed] that many of the records to which they relate are still held by the Housing Corporation of New Zealand's successor agencies. For example the Ministry of Social Policy, Housing New Zealand and Housing Corporation of New Zealand. The Bond Centre forms do not appear to have been appraised before.

5.0 DESCRIPTION, EVALUATION & DISPOSAL RECOMMENDATIONS

Specific disposal criteria employed in this appraisal are specified for each record series in sections 5.1 to 5.7. The general criteria are:²

Recommended for transfer as public archives

1. Card indexes which provide concise summaries of membership to committees which had significant social / cultural impact.

Recommended for destruction

1. Records documenting routine or low-level functions
2. Card indexes which contain information duplicated in Archives New Zealand's finding aids

Archives New Zealand's practice of compiling item level lists of records transferred into its custody obviates the need to retain numerical, subject and locality card

¹ E.g. SAC series 1; HD W1521

² The criteria are derived from *National Archives' Standard for the appraisal of Public Records and Archives* and the notion that appraisal is the selection of records that provide the sharpest view of citizen-state interaction. (Cook, T., 'Mind over Matter: Towards a New Theory of Archival Appraisal' in Barbara L Craig (ed.), *The Archival Imagination: Essays in Honour of Hugh A Taylor*, Association of Canadian Archivists, 1992, p38-70).

indexes to registered correspondence files since this data is already present in these lists.

Nominal (writer) indexes to registered correspondence files have value in that they act as access points for specific individuals or organisations whose correspondence could conceivably be scattered throughout a subject based registered correspondence system. Although it could be argued that this type of access is valuable for accounting for agency activity for particular individuals, with the passage of time this value diminishes to zero. In terms of informational value as access points for researchers it is unlikely that research on individual cases within a general registered correspondence system would be undertaken.³

5.1 **State Advances Corporation recordkeeping card index**

<i>Date Range:</i>	1930s-1970s
<i>Quantity:</i>	9 card index drawers
<i>System of Arrangement:</i>	Numerical, subject and location
<i>Physical Format:</i>	9 drawer (3x3) metal card index cabinet
<i>Controlled series:</i>	SAC / HCNZ central correspondence system (SAC series 1) SAC HC Branch (HD W1521)
<i>Function:</i>	File title and classification control; Facilitation of alternative access points. <i>Numerical (typed) (SAC HC Branch)</i> 1 drawer arranged numerically by 'X' prefix multiple number. Access point for land sales. 1940s-1950s. Also by government department <i>Subject (handwritten) (SAC / HCNZ)</i> 2 drawers arranged by subject. No dates. <i>Locality (typed) (SAC HC Branch)</i> 2 drawers arranged by locality. 1930s-1970s. <i>Locality (handwritten) (SAC HC Branch)</i> 1 drawer arranged by locality. Appears to relate to state house contracts. Cards record contractor, a date, a number (of rooms, houses?) and a number (file reference, contract?). Incomplete. Note: 3 drawers are empty.
<i>Value:</i>	The indexes have no accountability, evidential or informational value.
<i>Recommendation:</i>	All indexes are recommended for destruction.

³ It has been assumed that sequences of case files within such systems would have include nominal data within file titles.

5.2 Housing Corporation recordkeeping card index

<i>Date Range:</i>	Not known
<i>Quantity:</i>	12 card index drawers
<i>System of Arrangement:</i>	Numerical, subject, nominal, location
<i>Physical Format:</i>	12 drawer (2x6) metal card index cabinet
<i>Controlled series:</i>	SAC / HCNZ central correspondence system (SAC series 1)
<i>Function:</i>	File title and classification control; Facilitation of alternative access points. <i>Numerical (handwritten)</i> 2 drawers. Covers 1/- to 47/- sub-series) <i>Numerical (typed)</i> 1 drawer. Same as above but seems to be an 'updated version' <i>Subject (typed)</i> 3 drawers <i>Nominal (handwritten)</i> 1 drawer <i>Location (typed)</i> 3 drawers. <i>Local bodies (typed)</i> 1 drawer. Access point to central recordkeeping system by local body. Note: 1 drawer is empty
<i>Value:</i>	The indexes have no accountability, evidential or informational value.
<i>Recommendation:</i>	All indexes are recommended for destruction.

5.3 **Housing Corporation general correspondence card index**

<i>Date Range:</i>	1960s-early 1990s
<i>Quantity:</i>	16 card index drawers
<i>System of Arrangement:</i>	Numerical, nominal and locality
<i>Physical Format:</i>	16 drawer (2x8) metal card index cabinet
<i>Controlled series:</i>	SAC Housing Construction Branch (HD W1521) HCNZ Ministerials Building Performance Guarantee Corporation and Mortgage Guarantee Corporation case files
<i>Function:</i>	File title and classification control; Facilitation of alternative access points. <i>Numerical card indexes ('1-2-3-6-27 series' and 'BPGC and Rent Freeze Regs')</i> 2 drawers of cards listing file references (no titles or subjects), a small number of cards relating to Building Performance Guarantee Corporation claims (no file references) and OIA refusals. ⁴ <i>General correspondence nominal index</i> 12 drawers arranged alphabetically by surname of correspondent. Access point to 'ENQ' annual single number general housing enquiries dating from the 1980s and early 1990s. ⁵ These are interfiled with cards referring to Residential Mortgage Guarantee Scheme providing access 'MG' prefix files dating from the 1960s and 1970s. ⁶ The cards indicate the mortgagor and mortgagee though no details about the loans (e.g. amount and terms). Note: S-Z can be found in one of the drawers described in s5.1.4 <i>Locality indexes</i> 2 drawers arranged by locality for 4/-, 8/- and 9/- sub-series files. The 4/- files refer to land purchases presumably from the Housing Construction Branch (see s5.1)
<i>Value:</i>	The indexes have no accountability, evidential or informational value.
<i>Recommendation:</i>	All indexes are recommended for destruction.

5.4 **Housing Corporation recordkeeping workflow system card index**

⁴ The Building Performance Guarantee Corporation charged a small levy on people whose house was being built in order to accumulate a fund in case of structural failure. The Corporation was extant during the 1980s.

⁵ [Name removed] suggests that these are ministerials and that the records to which they relate are likely to be held by the Ministry of Social Policy.

⁶ [Name removed] suggests that these are the records of the Mortgage Guarantee Corporation (c.1960s-70s), a subsidiary of SAC / HCNZ which guaranteed home loans to people with poor credit ratings.

<i>Date Range:</i>	1980s
<i>Quantity:</i>	6 card index drawers
<i>System of Arrangement:</i>	Numerical
<i>Physical Format:</i>	6 drawer (2x3) metal card index cabinet
<i>Controlled series:</i>	SAC / HCNZ central correspondence system (SAC series 1)
<i>Function:</i>	Manages inactive records from Housing Corporation's central recordkeeping system. <i>Inactive record card index</i> 2 drawers arranged numerically by file reference. Indicates which files and part numbers are 'inactive' and in storage. The titles and subjects for these files are not given. <i>Disposal card index</i> 2 drawers arranged numerically by file reference. Indicates disposal action (destruction or transfer) and date of disposal. Transfers refer to accessions during September / October 1980 ⁷ and June 1985. ⁸ Note 1: One of these drawers also contains half a drawer of general enquiry index cards. This index is described in more detail in s5.1.3. ⁹ Note 2: Two of the drawers are empty
<i>Value:</i>	The inactive record card index has no further value as the records it documents are likely to have been disposed of by transfer to successor agencies or destruction and transfer. The disposal card index is potentially of value, however, as the records to which it relates are likely to have been split between the Housing Corporation's three successor agencies, it is not clear who would benefit from retaining custody of this index. ¹⁰ Arguably the best solution would be for the successor agencies to undertake to research the location of the housing function's legacy records and the best source of detail for this is likely to be Archives New Zealand's appraisal and accession records.
<i>Recommendation:</i>	All drawers are recommended for destruction

⁷ See NA 2/51/3, W1956

⁸ See OP 85/68, W2801.

⁹ This index is recommended for destruction.

¹⁰ Identification of the custody of these records is beyond the scope of this project.

5.5 *Housing Corporation library card catalogue*

<i>Date Range:</i>	1970s-early 1990s
<i>Quantity:</i>	50 card index drawers
<i>System of Arrangement:</i>	Numerical (Dewey), nominal (author) and subject indexes to Housing Corporation Head Office library stock with supplementary indexes for annual reports, vertical files, periodicals / journals, book orders, district schemes, and standards.
<i>Physical Format:</i>	50 drawer (5 x 10) wooden card index cabinet
<i>Function:</i>	Housing Corporation's library catalogue
<i>Value:</i>	In general the library function is facilitative and, in particular, this catalogue relates to a collection which no longer exists and has, therefore, no value.
<i>Recommendation:</i>	All drawers are recommended for destruction

5.6 *Housing allocation committees' national membership card index*

<i>Date Range:</i>	?late 1940s-early 1990s ¹¹
<i>Quantity:</i>	1 card index drawer
<i>System of Arrangement:</i>	Alphabetical by committee and then alphabetical by member surname within each committee.
<i>Physical Format:</i>	Single drawer wooden card index cabinet
<i>Function:</i>	Records membership of Housing Allocation Committees. These Committees were first established during the late 1940s to allocate state houses in a consistent fashion. Those appointed were "respected members of the community" who decided who was to receive state housing after SAC / HCNZ staff had investigated and graded applications. It appears that the committees were disbanded during 1991. ¹² Each card records the member's name, period of membership as well as a small amount of biographical data. The quantity and type of biographical data varies from card to card but generally records age and relevant work / community service experience. Each committee has a card with a file reference from the SAC / HCNZ recordkeeping system (35/-) and indicates its membership size (e.g. 5 persons).
<i>Value:</i>	The information recorded in these cards provides a concise summary of the numbers and types of people serving on the committees.
<i>Recommendation:</i>	The drawer is recommended for transfer to Archives New Zealand

¹¹ Estimated.

¹² Ferguson, G., 1994, *Building the New Zealand Dream*.

5.7 **Bond Centre tenancy forms**

<i>Form titles:</i>	See Appendix B for examples of these forms and summary details <ul style="list-style-type: none">◇ Bond Lodgement◇ Bond Refund◇ Bond Transfer◇ Change of Landlord / Agent◇ Change of Tenant
<i>Date Range:</i>	1986 - Current
<i>Quantity:</i>	c.1250 linear metres. Annual accretion rate is c.360-385,000 forms which is equivalent to c.50 linear metres. ¹³
<i>System of Arrangement:</i>	Forms are registered by batch number and date of processing (i.e. day bond is paid).
<i>Physical Format:</i>	A4 paper forms
<i>Function:</i>	The Bond Centre is the national repository for private sector bond lodgements. Its core business is the receipt, refund and transfer of tenancy bonds (bond lodgement, bond refund, and bond transfer forms). It also manages changes of tenants and landlords for existing bonds (change of landlord / agent and change of tenant forms). This function is mandated by the Residential Tenancies Act 1986.
<i>Business process</i>	Processing of the forms is fairly routine. The current workflow process is for the data elements in incoming paper forms to be extracted and entered into a database (profiling) and then scanned. ¹⁴ The forms act as triggers for transfer of bond money into and out of the Residential Trust Account as well as change of ownership of bond monies. ¹⁵

¹³ Estimate based on 1 linear metre = 3 Transit Boxes = 3 x 5 reams of A4 sheets = 3 x 5 x 500 A4 sheets = 7500 A4 sheets linear metres. As the schedule is intended to run for 10 years from 2001 and the forms have been produced since 1986, the total amount of forms which the schedule will cover is 25 years x 50 linear metres per year = 1250 linear metres. [name removed] indicates that the number of forms is slightly increasing due to an increase in the number of individuals renting and a decrease in the period of tenancy.

¹⁴ The bond refund forms are currently not scanned, however, it is planned that this will happen from July 2000 onwards. Scanning began for some forms as early as 1996.

¹⁵ See s19-22, 127 of the Residential Tenancies Act 1986.

The original forms are stored at the Bond Centre for six months before being transferred to an off-site third party storage facility.

It is envisaged that the Centre's proposed *Bond 2000* project will lead to full automation of the operation by utilising internet technologies. [name removed] has indicated that the Centre is aware of the legal admissibility issues surrounding electronic records and that these will be considered during its e-commerce development. At present the Centre regards the completed paper forms as the record copy whereas the database profiles and scanned images are regarded as copies of convenience.

The Centre revises the forms on an ad-hoc basis, however, these changes are limited to data element layout as opposed to amendments to the data elements themselves. The *Bond 2000* project is unlikely to change the number and function of the existing forms and on this basis it is recommended that the schedule continue to apply unless the number and function of the forms alters.

Retention:

Retention of the forms is not explicitly mandated by legislation (such as the Residential Tenancies Act 1986), however, [name removed] has indicated that requests for access to the forms do occur up to 5 years from date of tenancy termination. To minimise the Ministry's exposure to risk and ensure consistency with other legislative mandates (Taxation, Statute of Limitations) it is recommended that the forms be retained for 7 years from date of tenancy termination.

A number of bonds are never claimed, either by the tenant or the landlord. The forms for these are retained indefinitely by the Bond Centre.

Value:

The forms have legal value while the tenancy is current and they retain this value for some years after the termination of the tenancy.

Although it could be argued that the forms have evidential and informational value, the level of business activity which the forms document is so low and routine that there is no conceivable value in retaining even a sample of forms.

The Ministry of Housing publishes the total number of bond lodgements and refunds (including transfers) its annual report.

Recommendation:

Destroy all forms 7 years after tenancy termination.

6.0 ACCESS PROVISIONS

[have been removed]

7.0 TRANSFER CONDITIONS

[have been removed]

8.0 RETENTION AND DISPOSAL PERIODS

As the card indexes have been closed for at least ten years the Ministry of Housing may implement the transfer and destruction recommendations immediately. As discussed in s5.7, each bond centre form may be destroyed after the tenancy to which it relates has been terminated for seven years.

Please note that the recommendations for destruction in this appraisal are permissive rather than mandatory meaning that, once approved, these records may be destroyed without further approval from the Chief Archivist, however the Ministry of Housing may retain records for longer than the periods stipulated.

9.0 SUMMARY OF DISPOSAL RECOMMENDATIONS

Cross reference to sections 5.1 - 5.7

5.1 State Advances Corporation recordkeeping card index	Destroy all drawers immediately
5.2 Housing Corporation recordkeeping card index	Destroy all drawers immediately
5.3 Housing Corporation general correspondence card index	Destroy all drawers immediately
5.4 Housing Corporation recordkeeping workflow system card index	Destroy all drawers immediately
5.5 Housing Corporation library card index	Destroy all drawers immediately
5.6 Housing Allocation Committees' National Membership card index	Transfer to Archives New Zealand immediately
5.7 Bond Centre tenancy forms	Destroy 7 years after tenancy termination

Quantity recommended for <u>transfer as public archives</u> :	<u>less than 0.25 lm (0.02%)</u>
one-off authority	0.25 lm
on-going authority	Nil

Quantity recommended for <u>destruction</u> :	<u>c.1262 lm (99.98%)</u>
one-off authority	c.12 lm
on-going authority	c. 1250 lm

Signed:

Date:

[name removed]
Archivist
Appraisal Section
Archives New Zealand



(04) 499-5595

Appendix A***GAIMS agency documentations for:***

..

AALF	Housing Corporation of New Zealand, Head Office
AAPK	State Advances Corporation, Head Office
AAPO	Housing Division, Ministry of Works, Head Office / Housing Construction Branch, State Advances Corporation, Head Office
ABVE	Ministry of Housing
ABVF	Housing Corporation of New Zealand, Wellington
ABVG	Housing New Zealand Ltd, Corporate Office

Appendix B

Analysis of Bond Centre forms and examples

<u>Form Name</u>	<u>Code</u>	<u>Legislation</u>	<u>Annual accretion</u>	<u>Form profiled on database?</u>	<u>Form scanned?</u>
Bond Lodgement	T1	-	c. 160,000-170,000	Yes	Yes
Bond Refund	T2	-	c. 160,000-170,000	Yes	From 1 July 2001
Bond Transfer	T7	-	c.20,000-25,000	Yes	Yes
Change of Landlord / Agent	T19	-	c.10,000	Yes	Yes
Change of Tenant	T20	-	c.10,000	Yes	Yes

Note: The Ministry of Housing also produces a number of other forms, however, [name removed] has indicated that these forms are not handled by the Bond Centre.