



Ohio History Connection
 State Archives of Ohio
 Local Government Records Program
 800 E. 17th Avenue
 Columbus, OH 43211-2474

OHIO HISTORY CONNECTION

OCT 08 2021

STATE AND LOCAL
GOVERNMENT RECORDS

RECORDS RETENTION SCHEDULE (RC-2) – Part 1

See instructions before completing this form. Must be submitted with PART 2

Section A: Local Government Unit

City of Shaker Heights **Finance Department**

(local government entity)

(unit)

/s/ John Joseph Potts

John J. Potts

Director of Finance

9/22/21

(signature of responsible official)

(name)

(title)

(date)

Section B: Records Commission

City of Shaker Heights, Law Department **(216) 491-1440**

Records Commission

(telephone number)

3400 Lee Road

Shaker Heights

44120

Cuyahoga

(address)

(city)

(zip code)

(county)

To have this form returned to the Records Commission electronically, include an email address:

William.gruber@shakeronline.com and Alicia.white@shakeronline.com

I hereby certify that our records commission met in an open meeting, as required by Section 121.22 ORC, and approved the schedules listed on this form and any continuation sheets. I further certify that our commission will make every effort to prevent these records series from being destroyed, transferred, or otherwise disposed of in violation of these schedules and that no record will be knowingly disposed of which pertains to any pending legal case, claim, action or request. This action is reflected in the minutes kept by this commission.

/s/ Alicia M. White

10/08/21

Records Commission Chair Signature

Date

Section C: Ohio History Connection - State Archives

Local Government Records Archivist

11/10/2021

Signature

Title

Date

Section D: Auditor of State

Records Manager

Signature

Title

Date

Please Note: The State Archives retains RC-2 forms permanently. It is strongly recommended that the Records Commission retain a permanent copy of this form

Section E: RECORDS RETENTION SCHEDULE (RC-2) – Part 2

See instructions before completing this form.

City of Shaker Heights

Finance Department

(local government entity)

(unit)

(1) Schedule Number	(2) Record Title and Description	(3) Retention Period	(4) Media Type	(5) For use by Auditor of State or LGRP	(6) RC-3 Required by LGRP
	Tax Forms				
F21-1	1099 Federal Tax Forms: <i>Federal tax form for miscellaneous income that is sent to vendors doing business with the City. City retains copies.</i>	4 Years, provided audited	Paper or Electronic	Audited means: the years encompassed by the records have been audited by the	<input checked="" type="checkbox"/>
F21-2	990 Federal Tax Forms: <i>Federal tax form for organizations exempt from income taxes. Completed for non-profit organizations where City is fiscal agent. City retains copies.</i>	4 Years, provided audited	Paper or Electronic	Auditor of State and the audit report has been released pursuant to Sec. 117.26 O.R.C.	<input checked="" type="checkbox"/>
F21-3	W-2: <i>Federal tax form for wage and tax statements for employees of the City or employees of organizations where the City is the fiscal agent. City retains copies.</i>	6 Years	Paper or Electronic		<input type="checkbox"/>
F21-4	W-9 Request for Taxpayer I.D. Number: <i>Federal tax form for request for taxpayer identification number and certification. Required of vendors doing business with the City. City retains originals.</i>	6 Years, After Last Payment	Paper or Electronic		<input type="checkbox"/>
F21-5	941 Quarterly Federal Tax Return: <i>Federal tax form for employer's quarterly federal tax return for the City or for organizations where the City is the fiscal agent. City retains copies.</i>	4 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
	Monthly Generated Reports and Backup Documentation				
F21-7	Expenditure Report – Detail, by Month: <i>Financial system generated report listing all expenditures for the month. Shows account number, amount paid, and vendor information.</i>	7 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
F21-8	Expenditure Report – Summary, by Month: <i>Financial system generated report listing all expenditures for the month. Shows account number and total amount paid.</i>	7 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
F21-10	Accounts Payable PO – Pink Copy: <i>City's copy of purchase order from the City's financial system.</i>	3 Years	Paper or Electronic		<input type="checkbox"/>
F21-12	Accounts Payable Batch Reports and backup by warrant date: <i>Documentation for payments issued from the City's A/P system. Includes departmental reports and backup documentation.</i>	3 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
F21-13	Payroll Purchase Orders: <i>Copies of purchase orders related to the City's payroll. Shows account posting to the General Ledger.</i>	3 Years	Paper or Electronic		<input type="checkbox"/>
F21-14	Check Register: <i>Financial system generated report listing checks written by the City for accounts payable and payroll.</i>	3 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
F21-15	Travel Authorizations: <i>Documentation listing of travel related expenditures with approvals.</i>	3 Years	Paper or Electronic		<input type="checkbox"/>

Section E: RECORDS RETENTION SCHEDULE (RC-2) – Part 2

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City of Shaker Heights

Finance Department

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F21-16	Closed PO Expenditure Report, whole year: <i>Shows detail of all expenditures by purchase order. Shows purchase order, amount paid, date paid and check number. This report is for all purchase orders that have been closed at year end.</i>	7 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
F21-17	Open PO Expenditure Report, whole year: <i>Shows detail of all expenditures by purchase order. Shows purchase order, amount paid, date paid and check number. This report is for all purchase orders that remain open at year end.</i>	7 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
F21-18	Open PO Summary Report: <i>Financial system generated report listing all purchase orders that are available to use. Shows amounts available to spend, and account number.</i>	7 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
F21-20	Expenditure Adjustment, Journal Entry Report, whole year): <i>Financial system generated report showing journal entries done during the year to adjust amounts or account numbers for expenditures.</i>	7 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
F21-21	Office Supplies Expenditure Report: <i>Financial system generated report showing detail of all expenditures posted to the general ledger detailing office supplies. Shows purchase order, expenditure amount, check number and check date.</i>	3 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
F21-22	Hospitalization Expenditure, Detail Report: <i>Monthly balancing report of hospitalization expenses. Shows detail by employee that balances to amount remitted to company for payment.</i>	7 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
F21-23	Appropriation Reports: <i>Financial system generated report listing all amounts that were appropriated for future expenditures for each fund. Shows amounts appropriated, expensed, and remaining balance by account number.</i>	5 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
F21-24	Encumbrance Report: <i>Financial system generated report listing all encumbrances which are amounts restricted for future expenses. Shows purchase order number, amount encumbered, and account number.</i>	3 Years	Paper or Electronic		<input type="checkbox"/>
F21-25	Capital Projects – System Reports: <i>Financial system generated report showing detail by general ledger capital account number of expense and remaining appropriation balance.</i>	7 Years	Paper or Electronic		<input type="checkbox"/>
F21-26	Personal Services Expenditure Report: <i>Financial system generated report detailing wages and benefits expense by fund by department.</i>	3 Years	Paper or Electronic		<input type="checkbox"/>

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(1) Schedule Number	(2) Record Title and Description	(3) Retention Period	(4) Media Type	(5) For use by Auditor of State or LGRP	(6) RC-3 Required by LGRP
F21-27	Prior Year YTD & Current Year YTD Expenditure Report: <i>Financial system generated report listing total expenditures for an account for the current YTD and prior YTD. Shows expenditure amount and account number.</i>	7 Years	Paper or Electronic		<input type="checkbox"/>
F21-28	Revenue Detail & Source Report: <i>Financial system generated report listing revenue amounts per account. Shows revenue source, amount, date received, and account number.</i>	3 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
F21-29	Revenue – MTD / YTD Report: <i>Financial system generated report showing MTD and YTD revenues for each account. Shows revenue amounts and account numbers.</i>	3 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
F21-30	Receipts by Payin & Revenue Report (Whole Year): <i>Financial system generated report showing annual revenues for each account in the City's financial system. Shows detail of each revenue and account numbers.</i>	3 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
F21-33	Receipt Books / Receipts (Pink Copies): <i>Duplicate copies of receipts written for payments received in Finance.</i>	3 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
F21-34	Cash Receipts Detail (Black Books): <i>Binders created by Finance containing documentation for certain revenues received by the City.</i>	3 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
F21-35	Settlement Sheet or Tax Distribution from County Auditor: <i>Documentation received from Cuyahoga County for property taxes received by the City. Details which funds should be credited for each amount.</i>	10 Years	Paper or Electronic		<input type="checkbox"/>
F21-36	Accounts Receivable Backup – Billing (Unpaid): <i>Copies of invoices sent by the City for services rendered that have not been paid.</i>	Until paid / sent to collection / or assessed	Paper or Electronic		<input type="checkbox"/>
F21-37	Accounts Receivable Backup – Paid Invoices: <i>Copies of invoices sent by the City for services rendered that have been paid.</i>	3 Years	Paper or Electronic		<input type="checkbox"/>
F21-38	Daily Receipt / Payin Detail Sheets – by Month: <i>Documentation for revenue received by Finance from all City departments.</i>	3 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
F21-39	Accounts Receivable Payment Proof Reports with backup – by deposit date: <i>Financial system generated report detailing revenues received by City departments that are sent to Finance.</i>	3 Years, provided audited	Paper or Electronic		<input type="checkbox"/>

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F21-40	Deposit Slips: <i>Completed deposit slips and receipts from banks for deposits made by the City.</i>	3 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
F21-42	Special Assessment Detail: <i>Documentation for services rendered by the City that were sent to Cuyahoga County to be added to residents' property tax bills.</i>	Until paid off and audited	Paper or Electronic		<input type="checkbox"/>
F21-43	Tax Duplicate: <i>Copy of records from Cuyahoga County showing tax charges by parcel.</i>	3 Years	Paper or Electronic		<input type="checkbox"/>
	Month End and Year End Reports				
F21-44	Outstanding Check Reports: <i>List of checks generated by the financial system that have not been cashed.</i>	3 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
F21-45	Chargeback Reports/Records: <i>Reports showing the allocation of expenses to each department. Documentation includes detailed records and journal entry report.</i>	3 Years	Paper or Electronic		<input type="checkbox"/>
F21-46	Month End Packets (Journal Entries, Bank Reconciliations): <i>Monthly folder created to store journal entries for the month and various month-end entries. Also contains bank reconciliations, voided checks, and bank transfers between accounts.</i>	3 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
F21-48	Annual Computer Generated Financial Reports: <i>Financial system generated report showing account numbers and amounts for the year such as revenue, expenditures, encumbrances, appropriations and budget amounts.</i>	5 Years	Paper or Electronic		<input type="checkbox"/>
F21-50	Year End (Transaction Reports to Close Year): <i>Reports showing journal entries done at year end before the financial system is closed for the year.</i>	3 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
F21-51	Year End Adjusting Journal Entries: <i>Record of journal entries done at year end before the financial system is closed for the year.</i>	3 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
F21-52	State Report and Workpapers: <i>Audited financial report of the City and backup documentation.</i>	Permanent	Paper or Electronic		<input checked="" type="checkbox"/>
F21-53	Financial Report (CAFR): <i>Copies of the City's Comprehensive Annual Financial Reports.</i>	Permanent	Paper or Electronic		<input checked="" type="checkbox"/>
F21-54	General Ledger: <i>Financial system generated report showing all general ledger accounts and amounts. This is a year end closing report.</i>	25 Years	Paper or Electronic		<input type="checkbox"/>
F21-55	Investment Detail: <i>Detail of investments held by the City.</i>	3 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
	Bank Files				
F21-56	Confirmations, Investment and Repo's: <i>Detail of investments held by the City.</i>	3 Years, provided audited	Paper or Electronic		<input type="checkbox"/>

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F21-57	Cancelled Checks (A/P and Payroll): <i>Cancelled checks for accounts payable and payroll that were returned by the bank.</i>	3 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
	Miscellaneous Reports / Documents				
F21-58	Bid Awards: <i>Completed contract and supporting documentation for contractor that was the successful bidder of the project.</i>	15 Years	Paper or Electronic		<input type="checkbox"/>
F21-59	Bid Packages: <i>Packages that were submitted by contractors bidding for a contract with the City. Contains completed bid documents.</i>	Successful – 15 yrs after project completion Unsuccessful – 2 yrs after letting go of project.	Paper or Electronic		<input type="checkbox"/>
F21-61	Prevailing Wage: <i>Reports detailing prevailing wages for contracts.</i>	3 Years	Paper or Electronic		<input type="checkbox"/>
F21-62	Request for Proposals (RFPs): <i>Copies of submissions by companies responding RFPs for a contract that does not require competitive bidding (e.g. City's banking agreement).</i>	2 Years	Paper or Electronic		<input type="checkbox"/>
F21-63	Budgets: <i>Budget books compiled by the City showing each department's available budget for the year. Shows amounts and account information.</i>	Permanent	Paper or Electronic		<input checked="" type="checkbox"/>
F21-64	Budget Backup (Detail Information on Budget Figures): <i>Documentation showing detail for the budget figures in the budget books.</i>	5 Years	Paper or Electronic		<input type="checkbox"/>
F21-65	Capital Projects – Detail Reports (Year End): <i>Financial system generated report detailing all expenditures relating to capital projects by general ledger account number. This is a culmination of all monthly reports run throughout the year and is compiled in the year end close process.</i>	7 Years	Paper or Electronic		<input type="checkbox"/>
F21-66	Capital Projects – Detail Reports (Monthly): <i>Financial system generated report detailing all expenditures relating to capital projects by general ledger account number.</i>	7 Years	Paper or Electronic		<input type="checkbox"/>
F21-67	Certificates of Title: <i>Original certificates of title for assets such as vehicles owned by the City.</i>	Until disposed of	Paper or Electronic		<input type="checkbox"/>
F21-68	Certificate of Estimated Resources: <i>Certificate of Estimated Resources document that is compiled by the City and approved by Cuyahoga County showing each fund and amount of revenue expected to be received.</i>	7 Years	Paper or Electronic		<input type="checkbox"/>
F21-70	Contracts: <i>Original signed contracts retained by Finance. An original copy of the contract is also retained in the Law Department.</i>	15 Years	Paper or Electronic		<input type="checkbox"/>
F21-71	Performance Bonds: <i>Performance bonds received from insurance companies on behalf of a</i>	After project successfully	Paper or Electronic		<input type="checkbox"/>

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	<i>contractor that was awarded a contract with the City.</i>	completed and accepted			
F21-74	Finance Committee Minutes: Minutes from the City's finance committee meetings.	Permanent	Paper or Electronic		<input checked="" type="checkbox"/>
F21-76	EEO Report: Equal Employer Opportunity Commission reports.	10 Years	Paper or Electronic		<input type="checkbox"/>
F21-77	Fixed Assets: Additions & Disposals: Reports showing any additions and disposals of fixed assets that were owned by the City.	3 Years	Paper or Electronic		<input type="checkbox"/>
F21-80	Correspondence: Paper copies of correspondence involving the Finance Department.	Until no longer of admin value	Paper		<input type="checkbox"/>
F21-81	Correspondence: Electronic copies of correspondence involving the Finance Department.	Until no longer of admin value	Electronic		<input type="checkbox"/>
F21-83	Notes and Bonds: Documentation for City issued notes and bonds.	Permanent	Paper or Electronic		<input checked="" type="checkbox"/>
F21-86	Petty Cash Record: Documentation of cash distributed from the Finance petty cash account.	3 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
	Payroll				
F21-87	Accrual Report (shows Sick / Vacation Balance by pay): Report showing employees' sick and vacation balance at each pay period.	6 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
F21-88	Biweekly Files (Detail of employee changes made by pay period): Files created by payroll for each pay period containing documentation detailing employee changes beginning that pay period.	6 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
F21-89	Deduction Files (Employee deduction details): Files containing the details of employee payroll deductions.	6 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
F21-90	Deduction Reports (Shows deduction totals by pay period): Reports showing the total amounts and types of payroll deductions.	6 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
F21-91	Direct Deposit Report: List of bank accounts and distribution amounts that were direct deposited to individuals in the payroll system.	3 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
F21-92	Earnings Register: Financial system generated report showing employee earnings by pay date.	Permanent	Paper or Electronic		<input checked="" type="checkbox"/>
F21-93	Garnishment Orders: Documentation of garnishment orders received from a court authorizing the garnishment of an employee's wages.	Until Ee terminates or Order rescinded	Paper or Electronic		<input type="checkbox"/>
F21-96	Pay Register – Final: Financial system generated report detailing all employee earnings by pay date.	50 Years	Paper or Electronic		<input type="checkbox"/>
F21-97	Pay Register – Summary: Financial system generated report detailing summary by general ledger account by payroll of each pay.	10 Years	Paper or Electronic		<input type="checkbox"/>

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F21-99	Pension Reports (Police & Fire, PERS): <i>Copies of pension reports submitted to the pension funds.</i>	50 Years	Paper or Electronic		<input type="checkbox"/>
F21-101	Vacation & Sick Balance Register: <i>Report showing employees' vacation and sick balances.</i>	5 Years	Paper or Electronic		<input type="checkbox"/>
F21-102	Labor Reports: <i>Financial system generated report detailing by pay and general ledger code totals by pay period.</i>	3 Years after audit	Paper or Electronic		<input type="checkbox"/>
F21-103	Detail Proof (by month): <i>Detail by employee pay date. This is the pay register by employee.</i>	5 Years	Paper or Electronic		<input type="checkbox"/>
F21-104	Timesheet Report Dep't Detail Proof: <i>Details time reported in time entry by pay period.</i>	3 Years	Paper or Electronic		<input type="checkbox"/>
F21-105	Payroll Check Register: <i>A listing of checks written by the City for payroll.</i>	3 Years, provided audited	Paper or Electronic		<input type="checkbox"/>
F21-106	OBES Report: <i>Ohio Bureau of Employment Services reports.</i>	10 Years	Paper or Electronic		<input type="checkbox"/>
	Transient Records				
F21-107	Miscellaneous correspondence, emails, administrative policies, or other documents of short-term relevance or usefulness such as video recordings, voicemail, telephone messages, text messages, post-it notes, superseded drafts, transmittal documents, schedules, notes, copies of records which originals are by other city departments, and paper records stored electronically or vice versa (as long as the stored record is kept for the scheduled period for that specific record).	Until no longer of admin value	Paper or Electronic		<input type="checkbox"/>
	Ohio HIDTA Records				
F21-111	HIDTA Grant: <i>Documentation related to the Federal High Intensity Drug Trafficking Areas grants.</i>	3 Years from Grant Closeout	Paper or Electronic		<input type="checkbox"/>

Audited means: the years encompassed by the records have been audited by the Auditor of State and the audit report has been released pursuant to Sec.117.26 O.R.C



October 8, 2021

By Email: localrecs@ohiohistory.org

Ohio History Connection
State Archives of Ohio
Local Government Records Program
800 E. 17th Avenue
Columbus, Ohio 43211-2474

Re: Submission of RC-2 Form

To Whom it May Concern,

With this cover letter I am sending you by email one Records Retention Schedule for the Finance Department of the City of Shaker Heights.

Please let me know if you have any questions.

Very truly yours,

/s/ William M. Ondrey Gruber

William M. Ondrey Gruber
Director of Law
william.gruber@shakeronline.com