

Request for Formal Assembly Checklist

The purpose of this checklist is to ensure everyone understands State Budget requirements for costs associated with meetings. Request for Form Formal Assembly forms are required when a Board, Commission, Committee, or Council meeting, training, Internal Conference, or External Conference is scheduled and costs will be associated with the event.

This checklist must be completed and attached to the Request for Formal Assembly form. **This checklist and the RFA form must be attached** to all vendor invoices and travel reimbursements related to the applicable RFA in order for payments to be made. Check off all the requirements on this form to acknowledge that the Request for Formal Assembly meets the requirements of State Budget Manual (SBM). If a requirement is not applicable, please indicate by writing "NA". Please attach all documents to support the requirements listed.

Signatures and Approvals

___ All required signatures are present on the form.

Funds

___ Funds are available to cover the costs of the Formal Assembly. Each account listed on the form has the necessary funds available to cover the costs requested for approval.

___ If an honorarium is provided to a participant, then the participant should not be included on the RFA because an honorarium is inclusive of travel. If multiple participants are receiving honoraria, then there should be enough participants who are not receiving honoraria to meet State Budget Manual conference requirements for providing meals, breaks, etc. Otherwise, an RFA will not be allowed.

Board, Commission, Committee or Council Meetings

Boards, commissions, committees, or councils must include persons other than the employees of a single state department, institution, or agency. *SBM 5.1.15*

___ Is the scheduled event a Board, Commission, Committee, or Council meeting? If so, complete this section and the remaining sections will not apply. If this section is not applicable, place NA here and proceed to the remaining sections.

___ There are no State employees and/or members of state boards, commissions, and councils whose salaries or any portion of whose salaries are paid from state funds receiving per diem compensation from state funds for their services. *SBM 5.3.1 Per Diem Compensation*

___ Pursuant to [G.S. 138-5\(a\)\(1\)](#), non-state employees who are members of state boards, commissions, committees, and councils shall receive \$15 per day of official service.

___ Subsistence for non-state employee members of state boards, councils, commissions, or committees follows *SBM schedule, sections 5.3.2 and 5.1.2*.

___ When an overnight stay is not required, the State employee is allowed the actual cost of any meal (including lunch) eaten while on official state business if the meal is preplanned as part of the meeting for the entire board, commission, committee or council. *SBM 5.3.7*

___ Refreshments (i.e., coffee, soft drinks, cookies, doughnuts) may be served at official board meetings. Reimbursement may be paid from state funds for the actual cost not to exceed \$5 per member and required staff, per meeting per day. "Required Staff" shall be defined as an employee who, in the regular course of his duties, is expected to attend the meeting and any other employee whose presence is necessary to accomplish a purpose of the meeting. *SBM 5.3.9*

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Conferences

Training Sessions *SBM 5.8.6*

Employee training involves courses that further develop an employee's knowledge, skill, and ability to perform the duties of his/her present job, such as courses on computer usage or management skills development. These courses generally have a set fee, are of relatively short duration, and are not part of a curriculum the employee is participating in leading to an educational degree.

___ Does the conference meet the Training Session definition above. If so, complete this section. If not, place NA here and proceed to the following section. Complete applicable Internal Conference or External Conference section below based on which definition the Training Session meets.

___ Fees for training courses that provide training in specific areas are charged in the accounting system to "Employee Training" under "Other Services."

___ Sponsoring departments may provide refreshments for "coffee breaks" provided there are twenty or more participants and costs do not exceed five dollars (\$5) per participant per day.

___ Departments may reimburse employees for training books and materials related to training sessions, provided those books are required to participate in the training sessions. These books are considered property of the department and not the personal property of the employee.

Internal Conferences

___ Does the conference meet the internal conference definition below. If so, complete this section. If not, place NA here and proceed to the external conference section.

Internal Conference Definition *SBM 5.8.4*

Internal conferences are those that involve the attendance of employees within that particular department, institution or agency only. A routine staff meeting is not an internal conference.

___ The conference is planned in detail in advance, with a formal agenda or curriculum.

___ There is a written invitation to participants, setting forth the calendar of events and the detailed schedule of costs.

___ No payment for meals is allowable unless overnight travel criteria are met.

___ No excess travel subsistence may be granted for internal departmental meetings, conferences, seminars, etc., and such meetings must be held in state facilities when available. No registration fee may be charged.

___ Sponsoring departments may provide refreshments for "coffee breaks" provided there are 20 or more participants and costs do not exceed five dollars (\$5) per participant per day.

___ State funds cannot be used to provide promotional or gift items to be distributed at the conference.

___ State funds cannot be used to support or underwrite a rally, celebration, reception, employee appreciation activity, or similar function.

___ State funds cannot be used to support or underwrite a meeting, assembly, conference, seminar, or similar function by whatever name called that promotes any cause or purpose other than the mission and objective of the department.

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External Conference

___ Does the conference meet the external conference definition below. If so, complete this section. If not, place NA here.

External Conference Definition *SBM 5.8.1*

External conferences are those that involve the attendance of persons other than the employees of a single State department, institution or agency. Payment for meals is allowable if included in the registration fee, but such fee must not consist exclusively of meals or it will not be allowable unless meeting overnight travel criteria. The registration fee is typically made for defraying the cost of speakers, building (room) use, handout materials, breaks and lunches at conferences and conventions. These fees are charged to Account 532930 - "Registration Fees." The agency may require itemization and/or documentation of expenses. Conferences sponsored or co-sponsored by a State department are authorized when they meet the limitations and requirements listed below.

Exception Regarding Conference Meals *SBM 5.8.2*

Pursuant to G.S. 138-6(a)(3), a university or State agency cannot use funds to pay for conference meals for state employees at which a conference fee was not charged, unless the following conditions are met: Federal grants, other grants, state, or institutional trust funds (as defined in G.S. 116-36.1) may be used for meals if the conditions attached to those funds allow for the provision of meals for a conference. The university or agency must have documentation of the conditions. If this is the case, then meals may be provided to state employees even if a registration fee was not charged. The employee may not request reimbursement for the meal.

Requirements and Limitations for External Conferences *SBM 5.8.3*

- ___ The conference is planned in detail in advance, with a formal agenda or curriculum. Attach the agenda to the RFA.
- ___ There is a written invitation to participants, setting forth the calendar of events, the social activities, if any, and the detailed schedule of costs included in the RFA.
- ___ Assemblies should be held in State facilities; however, non-state facilities can be rented and the cost charged to a State agency without allocation to participants' daily subsistence allowances.
- ___ Registration fees may be charged to participants for costs of external conferences.
- ___ Sponsoring departments may provide refreshments for "coffee breaks" provided there are 20 or more participants and the costs do not exceed five dollars (\$5) per participant per day.

When assemblies are to be held under the sponsorship of a State department in which the funding for all participants is budgeted, lump-sum payments to a conference center or an organization may be made upon written authorization from the department head or his or her designee. The authorization must provide the following and attach to the RFA:

- ___ The number of persons expected to attend;
- ___ The purpose and duration of the conference;
- ___ The specific meals to be served at the conference (law prohibits lunches being provided to state employees unless registration fees are charged to all attendees). Attach a reference to the provision, whether it is federal or other grant information that allows for meals to be provided to state employees if there is no registration fee;

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- ___ The approximate daily subsistence cost per person;
- ___ The name of the conference center, hotel, caterer, or other organization providing the service.

Preparer Printed Name _____

_____ Date

Preparer Signed Name _____

For guidance on rates and limitations, please refer
to the [OSBM Travel Rates and Limitations Tables on the DNCR Intranet](#).