The Guidelines and Best Practices for Sponsorship and Fundraising Activities
Of the Members of the Council on East Asian Libraries

2020-2021 CEAL Task Force on Creating CEAL Sponsorship and Fundraising Guidelines and Best Practices
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This policy document contains criteria, standard procedures, and forms for CEAL sponsorship and fundraising in conformity with CEAL Bylaws.

1. Background

The Council on East Asian Libraries (CEAL), a Committee of the Association for Asian Studies, Inc. (AAS), must meet the legal, financial, and reporting requirements of AAS. As an AAS Committee, CEAL is covered by AAS Article of Incorporation, tax-exempt status under Section 501 (c)(3) of the Internal Revenue Code, and liability insurance of AAS. (CEAL Bylaws Article I. B&C)

2. Definitions and Scope of CEAL Sponsorship and Fundraising

Non-CEAL Members include international, national (federal, state, and local government) entities as well as private corporate entities, educational institutions, scholarly organizations, private foundations, and private persons.

External Partners include international, national (federal, state, and local government) entities as well as private corporate entities including vendors, educational institutions, scholarly organizations, private foundations, and private persons. Any use of the term “partner” or comparable terms in this document is solely for convenience.

Lead means a current member on the CEAL Executive Board (EB) who voluntarily takes upon a task to execute a fundraising or sponsorship program. The Lead is responsible for planning, communicating, implementing, and reporting for the program. The Lead must submit a proposal for implementing such a program that meets the four CEAL criteria described herein to the CEAL EB for the unanimous approval of all CEAL EB members, ideally three months prior to the program’s execution. The CEAL EB bears the collective responsibility of the approved program under the guidance of the Lead and the CEAL President.

CEAL Fundraising means for the CEAL EB to solicit and collect monetary and/or its equivalent in
library materials or service donations from CEAL members and Non-CEAL Members during an announced period of time in order to fund a specified program with a proposed budget. Funds must be deposited to one or more than one of the four CEAL accounts: the Committees on Chinese, Japanese, Korean Materials (CCJKM), or the CEAL general account under the AAS financial system, and spent according to the submitted budget plan approved by the CEAL EB. The Lead must coordinate closely with the CEAL President and/or the CCJKM Chairs in managing the donation funds deposited in the shared one or more than one of the above four CEAL accounts. The CEAL Treasurer semi-annually reports to the EB the balance of the four donation funds.

**CEAL Sponsorship** means for the CEAL EB to provide or receive funding and/or in-kind support and/or endorsement for or from an External Partner to carry out a specified program pursuant to the signed agreement with the CEAL EB. CEAL sponsorship is non-exclusive and provided under the authority of the CEAL EB and terminated at the end of the written date of the specified program. CEAL sponsorship does NOT give the sponsored or sponsoring External Partner any ownership or rights owned by CEAL. The Lead must evaluate the program and report to the EB that CEAL sponsorship is properly applied to the program’s execution according to the written agreement.

### 3. The Four Criteria for CEAL Sponsorship and Fundraising

**Criterion 1. CEAL Objectives** (CEAL Bylaws Article II. A, B & C). CEAL serves as a forum for the discussion of East Asian library issues of common concern. CEAL promotes national and international library cooperation in East Asian librarianship. CEAL initiates and supports diverse programs for developing, creating, and preserving East Asian studies resources for research, teaching and learning, librarianship training, user services, and systematic organization of all types and formats of recorded information and knowledge.

**Criterion 2. CEAL Conflict of Interest Statement.** The CEAL EB members in their positions must act in the interest of CEAL and not in their personal interests. They may not use their positions or information they have about the CEAL or the CEAL’s property or information obtained through their positions in a manner that allows them to secure a significant economic benefit, an interest, either directly or indirectly, for themselves, their relatives, or their institutions or organizations. CEAL Conflict of Interest Statement follows the guidelines of the Conflict of Interest Statement made by the AAS.

**Criterion 3. CEAL Diversity, Equity and Inclusion (DEI) Statement.** Equity means fair treatment of people of all identities. Diversity means the embracement of the uniqueness of different individuals. Inclusion means respect and opportunities for all people. CEAL values equity, diversity, and inclusion in every respect of East Asian librarianship and requires all CEAL members to foster a culture guided by these principles actively. The DEI principle also applies to all East Asian studies materials collected by CEAL library collections in all subjects, formats, publication origins, and vendors. CEAL co-sponsored programs should be open to all CEAL members’ participation despite
race, gender, origin, location, or language. Exceptions apply to programs that have language requirements as a criterion.

Criterion 4. CEAL No-Endorsement Statement. There shall be no implication or offering of a quid pro quo in exchange for donations or sponsorship accepted by CEAL. Under no circumstances will the CEAL be expected to endorse, recommend, promote, or purchase the External Partners’ products or services, nor will any such endorsement or promotion be implied based on CEAL’s acceptance or acknowledgment of their donations, sponsorship, or CEAL’s sponsorship of their programs. They cannot state or imply, orally or in any media form, that CEAL endorses them or their products or services.

4. The Standard Procedures for CEAL Sponsorship and Fundraising

- The same above four CEAL criteria and standard procedures described herein apply to all types of External Partner entities.
- Both forms for Sponsorship Agreement and Donation contain references to the four CEAL criteria.
- The Lead submits a proposal to the CEAL President for the CEAL EB’s approval ideally three months prior to the event. The proposal demonstrates that the proposed activity satisfies the four CEAL criteria by addressing the following applicable questions:

[Criterion 1]

- How does this sponsorship/fundraising promote CEAL as a forum for the discussion of East Asian library issues of common concern (CEAL Bylaws Article II.A) and cooperation in East Asian librarianship (CEAL Bylaws Article II.C)?
- How does this sponsorship/fundraising support CEAL to promote programs for East Asian librarianship (CEAL Bylaws Article II.B)?

[Criterion 2]

- How does this sponsorship/fundraising benefit the interest of CEAL? Is the Lead gaining directly or indirectly any actual or perceived benefit or advantage, either personal or for one’s own institutions/organizations from the external entity in exchange for this sponsorship/fundraising?
- Is the gain entirely for the benefit of the CEAL community? Will it result in an actual or perceived Conflict of Interest between the Lead and CEAL?

[Criterion 3]

- How does this sponsorship/fundraising incorporate and meet CEAL’s Diversity, Equity and Inclusion requirement?
- Does the program encourage equal participation widely and inclusively?
- Will the language in which the program is conducted be a barrier to participation?
- Will the program time, format, technology selections encourage broad participation?

[Criteria 1-4]

- How does this sponsorship/fundraising inform CEAL and Non-CEAL Members of
CEAL requirements of the four CEAL criteria for these activities?

**Sponsorship**
1. The Lead submits the proposal to the CEAL EB accompanied by a CEAL Sponsorship Agreement Form signed by the sponsored/sponsoring External Partner.
2. Upon the CEAL EB’s approval, the Lead sends the sponsored/sponsoring External Partner a copy of the CEAL Sponsorship Agreement Form signed by the CEAL President.
3. The Lead submits a full report to the CEAL EB before the CEAL annual meeting.
4. The Lead requests the CEAL Secretary to archive the signed CEAL Sponsorship Agreement Form(s) and the names of sponsored/sponsoring External Partner(s).

**Fundraising**
1. The Lead submits the proposal accompanied by the complete operation plan to the CEAL EB for approval.
2. The plan should include a clear fundraising purpose, target donor or donor groups, time frame, budget, collecting CEAL account, and an execution plan.
3. The Lead submits a full report, including the financial data, to the CEAL EB before the CEAL annual meeting.
4. The Lead requests the CEAL Secretary to archive the signed CEAL Donation Form(s) and the names of significant donors.

Donations by:
- **CEAL/AAS members**
  Select any one or more than one of the four CEAL accounts in AAS’s online AMS database (Association management software) and pay by credit card in any dollar amounts without specifying the purpose at any time of the year. Upon request and submission of the proof of payment and the filled out CEAL Donation Form to the CEAL Treasurer, the CEAL President signs and sends the donor a digital copy of the CEAL Donation Form as a donation acknowledgment letter.

- **Non-CEAL Members**
  Please fill out a CEAL Donation Form and mail it to the AAS CFO with a check payable to AAS in any dollar amounts to any one or more than one of the four CEAL accounts at any time of the year. They must email a digital copy of the filled out CEAL Donation Form to the AAS CFO, the CEAL President, the CCJKM Chair for a CCJKM donation, and the CEAL Treasurer prior to mailing the check. Upon request and the AAS CFO’s receipt confirmation, the CEAL President signs and sends the donor a digital copy of the CEAL Donation Form as a donation acknowledgment letter.

AAS mailing address:
[Name of AAS CFO]
Association for Asian Studies, Inc.
825 Victors Way, Suite 310
Frequently Asked Questions and Answers

Q1. Can we collect donations in one specific account for the Committee on CJK Materials year round?
A1. Yes. Apply the same policies of the four criteria and the standard procedures.

Q2. Can we collect donations in the general CEAL account for the Committee without an account year round?
A2. Yes. See the answer to Q1. Since your donation funds are merged with other funds in the general CEAL account, pay extra attention to keeping financial records.

Q3. Can we collect donations in the general CEAL account for a specific Fund, such as Award and Travel, year round?
A3. Yes. See the answer to Q2.

Q4. Can we sponsor a vendor-related event?
A4. Yes. Apply the same policies of the four criteria and the standard procedure to the program. Prove you are not promoting specific products/services of the vendor over those by other vendors. Prove you are gaining no actual or perceived benefit or advantage directly or indirectly, personally or for your institutions/organizations, from the vendor in exchange for your sponsorship, but a gain is entirely for the benefit of the undivided CEAL community. Prove your sponsorship meets the diversity, equity and inclusion (DEI) requirement.

Q5. Can we sponsor an international scholarly program?
A5. Yes. Apply the same policies of the four criteria and the standard procedure to the program. Prove you are not promoting a specific scholarly entity over others. Prove you are gaining no actual or perceived benefit or advantage directly or indirectly, personally or for your institutions/organizations from the scholarly group or organization in exchange for your sponsorship, but a gain is entirely for the benefit of the undivided CEAL community. Prove your sponsorship meets the diversity, equity and inclusion (DEI) requirement.

Q6. What are the standard procedures for Non-CEAL Members/External Partners to initiate donations for CEAL programs?

Q7. What are the standard procedures for CEAL members to initiate donations for CEAL programs by check instead of credit card?
A7. Apply the answer to Q6, with their AAS membership number written on the check. While AAS accepts the checks issued by CEAL members, CEAL should avoid this option because of extra handling costs on both CEAL and AAS.

Q8. What are the standard procedures for External Partners to initiate in-kind or monetary sponsorship for CEAL programs?
A8. A new donation webpage in the CEAL Website should include the policies and standard procedures for
CEAL sponsorship and fundraising with downloadable CEAL forms for **Donation** and **Sponsorship Agreement**. Such a page provides CEAL and Non-CEAL members a list of time-limited fundraising campaigns for specific programs as well as year-long donation opportunities to support specific programs/committees. The [Join CEAL/Renew Membership](#) page should be updated to make it clear that CEAL membership dues/donations are different from these fundraising donations.

Q9. How do the guidelines and forms apply to CEAL’s conference programs?
A9. Regarding hosting institutions providing a venue or sharing the costs for goods and services for CEAL’s programs/workshops, discuss with the hosting institutions whether a formal agreement is needed. Monetary donations to the programs by participants, hosting institutions, and other external partners are donations. Apply the same policies of the four criteria and the standard procedures and use the **Donation Form**.

Q10. What are the guidelines for applying for and using external grants for CEAL programs?
A10. See D. External Grants in the **CEAL Financial Guidelines**

Q11. How does CEAL inform AAS of its sponsorship/fundraising activities and guidelines?
A11. See the accompanying supplement, CEAL-AAS Correspondence. In January 2021, Hana Kim (CEAL President, 2020-2022), confirmed the expectations of AAS regarding CEAL’s future sponsorship/fundraising activities with Dr. Hilary V. Finchum-Sung (AAS Executive Director), and Alicia Williams (then AAS CFO). Prior to executing any and all types of fundraising activities, the CEAL Treasurer must alert the AAS CFO and the AAS Membership Manager about CEAL members’ contributions apart from CEAL membership dues. Both payments are processed through the same membership payment function in AAS’s online system for AAS/CEAL members. CEAL membership dues are accepted annually to the CEAL general account during the April-December payment window. However, contributions for funds in any one or more of the four CEAL accounts are accepted at any dollar amounts year-round. The CEAL Treasurer needs to differentiate funding contributions from membership dues that are uncategorized in CEAL’s semi-annual financial reports issued by AAS when totaling funding contributions per account. Considering the limitation of CEAL’s accounting, which is administered by AAS, CEAL is advised to scale down the number of the simultaneous fundraising activities using the same account.