

Ford Foundation

**Visions and Actions for the Enhancement of  
Biological and Cultural Diversity:  
The Yunnan Initiative**

**CBIK Institutional Development  
Final Report for 2001-2003  
Annual Report in 2003**

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# 1. Introduction

With support from the Ford Foundations, other donors and partners, the Center for Biodiversity and Indigenous Knowledge (CBIK) has successfully completed the Strategic Plan covering the period from 2001 to 2003, which allows CBIK to shift from being project driven to being systematically program driven; from core leadership to board governance; from individual action to a team building process. The CBIK strategic planning process has been guided by “The Yunnan Initiative” and further examined during the III MMSEA, convened by CBIK in Lijiang, August 2002, with the purpose of exploring the links between indigenous knowledge, resource governance and sustainable livelihoods in the mountain region. This process led to the revision and articulation of CBIK’s long-term vision, mission and goals, based on the (1) shared values of staff, members and key partners, (2) situational analyses of the external and internal environments, and (3) evolution of CBIK into a learning and bridging organization that occupies a vital institutional niche within China’s expanding space for NGOs and civil society. These overarching elements also provided the basis for the formulation of key strategies and impact areas, and the new CBIK program structure.

The previous Ford supported institutional grant enabled CBIK staff and partners to work together with different stakeholders to:

- Conduct participatory planning process for CBIK strategic plan with different stakeholders;
- Assess political and social environmental environments for NGOs and civil society;
- Engage together with partners in the learning process for an accountable and competence organization;
- Support policy dialogue in culture, conservation, sustainable development issues.

In the process, CBIK played a leading role in the local and national policy advocacy and indigenous community capacity building for good governance, environmental conservation, poverty alleviation as well as institutionalization of NGOs and inter-cultural communication. There is increasing demand from indigenous people, partner institutions and even government agencies for CBIK to provide service in capacity development, knowledge sharing, policy recommendation and alternative development approaches.

CBIK has learnt that it must develop long-term institutional capacity and partnerships with indigenous people, local institutions and strategic alliance to creatively implement program-focused activities, which needs sustainable financial support not only for on-going projects but also more importantly for integrated program and institutional development.

## **2. CBIK's Focus**

### **2.1 Vision**

We live in a democratic, ecologically and culturally diverse society, in which the livelihoods and resources of local people and communities are respected, improved and sustainably managed through equitable, harmonious partnerships among government and civil society stakeholders

### **2.2 Mission**

To enable local groups to strengthen their evolving cultural traditions and generate innovative ways to improve their livelihoods and enhance biodiversity through interdisciplinary research, capacity building, and participatory approaches for nurturing intercultural dialogue among people of varying local and scientific cultures, languages and knowledge systems in South west China

### **2.3 Goals**

- To improve the capabilities of local people for sustainable livelihoods and the well being of human and non human residents of mountain watersheds
- To generate environmentally sound and socio-culturally adapted knowledge for managing and conserving natural and cultural resources;
- To enhance the capacity of committed researchers and development workers for interdisciplinary research and participatory technology development, facilitation, documentation and dissemination in partnership with indigenous people.
- To offer means and methods for bridging knowledge systems, political systems and cultures to contribute to a society of intercultural, intersectoral and interdisciplinary dialogue and cooperation

## **3. Achievement**

### **3.1 Success**

The initiation of the 2001 strategic planning process was a milestone for CBIK and much has been achieved since that time. CBIK is committed to developing and implementing policies and programs that will continue to build the organization as a learning institution. The key disciplines for CBIK as a learning organization are:

- Systems thinking (系统思维)

- Improving mental models (完善心灵)
- Building shared vision (共享远景)
- Team learning (团队学习)
- Personal mastery (自我超越)

The trajectory of CBIKs learning process is about changing mentality (or metanoia), proactive learning, disciplines and self-reflection. The aim of the learning process is to enhance the value, attitude, skills and knowledge of all CBIK staff. In the past three years, CBIK has successfully achieved the original objectives of its strategic plan.

In order to achieve integrated programs, each project, which fit into one of three field-oriented programs, i.e., watershed governance, community livelihood and indigenous knowledge, has to address three dimensions: policy perspective, indigenous perspective as well as public perspective. The main activities of CBIK can be summarized into four components:

a) Policy initiative: it aims to improve the base for decision-making, policy planning and implementation process about development and natural resource management in the uplands of Southwest China particularly the ethnic minority areas in response to state policies such as the “Natural Forest Protection Program” and “Sloped Land Conversion Program” and emerging field issues such as intellectual property rights and traditional resource rights of indigenous people. The key support for policy initiative is mainly from CBIK’s Watershed Governance Program with contribution from other action and support programs particularly the Communication Program. The CBIK’s organized policy dialogue workshops and conferences, CBIK Forum, policy recommendations, multi-media and videos, publications as well as CBIK’s active participation in international and national policy related debates are the main instruments for policy initiatives. The working issues for CBIK include the payment for environmental services, access and indigenous people’s rights, and good rural governance. The CBIK is not only simply working with its strategic alliances, such as IUCN (which CBIK is one of member of), Conservation International (CI), TNC, IISD and Action Aid, and national governmental organizations such as SEPA and NGOs ie Friends of Nature, but it also has impacts on these organisations activities and initiatives.

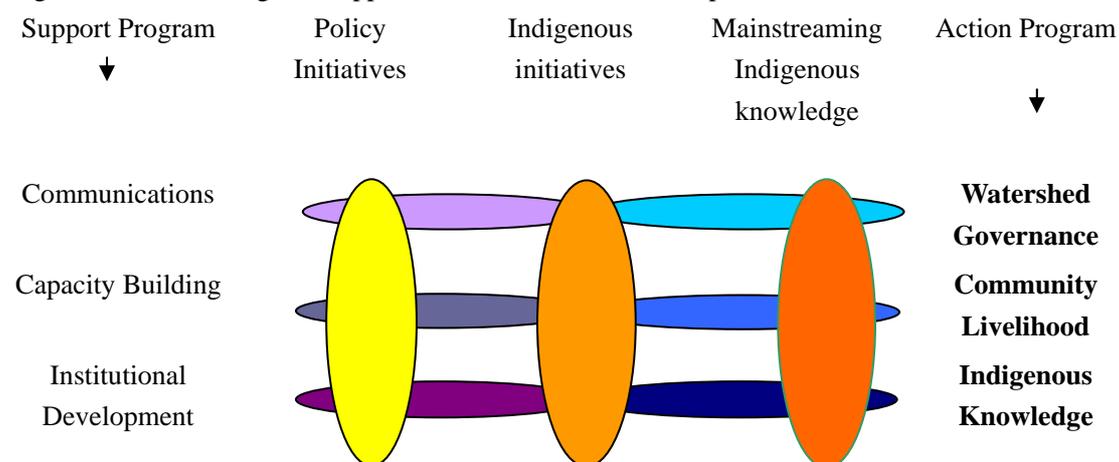
b) Indigenous initiative: it aims to enhance the indigenous people’s capability for sustainable livelihoods and culture in transition to market economy in the mountain region. The key support for indigenous initiative depends on CBIK’s Community Livelihoods Program with contribution from other programs, but particularly the Indigenous Knowledge Program. CBIK is developing the Participatory Technology Development Approach together with indigenous people based on our holistic understanding of the sustainable livelihoods of local communities. This is built upon the links between biodiversity and indigenous knowledge, indigenous cosmology, community-based education, in the examples of ICCO-supported ecotourism project, IDRC-supported agro-pastoralists livelihood project, as well as MISEREOR-supported upland livelihoods project.

c) Mainstreaming of IK: it aims to promote inter-culture communication and public awareness about the links between indigenous people, biodiversity and environment. The key support for mainstreaming of IK is a combination of CBIK’s Indigenous Knowledge Program and Communication Program with contribution from other programs. CBIK brings indigenous voices to the public through photos, local drawings, videos, posters, local festivals and seeds fairs, as well

as regional events, such as the Mountain Festival during III MMSEA in Lijiang, 2002. The CBIK promotes local voices, vernacular identification and local participation in public debates on various issues about culture, environment and development. This involves an innovative leaning process at three different levels: i) sharing and learning intra-and-inter community of indigenous peoples; ii) our learning process through documentation of good practices of IK together with our partners at field, prefecture and provincial levels; and iii) building public and professional awareness together with academics, GOs and NGOs. This is clearly evident in the GTZ supported indigenous knowledge project, Ford-supported community based education project, as well as Collaborative Research Network's activities.

d) Strategic management: it aims to create a CBIK internal learning and development environment through three supporting programs, i.e., communication, capacity building and institutional development. The strategic management is supported by the CBIK's local board and international advisory board (IAB). CBIK looks beyond the disciplines, projects and programs of CBIK itself to build more long-term vision and action for leadership and social entrepreneur in Chinese civil society. The CBIK Small Grant Program with the support of the Ford Foundation aims for capacity building for young leadership of partner institutions at local level. The CBIK's staff might be positioned as field facilitators, project technicians, coordinators, program heads or supporting staff, each individual, project and program is requested to integrated mechanism for policy initiatives, indigenous initiatives and mainstreaming indigenous knowledge based on their holistic thinking (see figure 1). For example, the direct output of the Jisha Village eco-tourism project aims to provide solutions on alternative livelihoods after the logging ban. However the project can not succeed without addressing indigenous people's resource rights and access to marketing and policy planning processes in environment and development. The success of eco-tourism can not be achieved without building public and tourist's awareness for conserving culture and nature. The success of eco-tourism can not be achieved without building indigenous people's capacity for maintaining and nurturing their own nature and culture.

Figure 1: CBIK's Integrated Approach for Sustainable Development



### 3.2 Challenges

Although Chinese NGOs are playing an increasingly important role in addressing social needs, they are still at an initial stage of development and have some deficiencies. The responsibility and

right between government and government organized NGOs (CONGOs) are not clearly separated, resulting in an indispensable relationship of mutual dependence. In individual organized NGOs, the organizational structure is, in most cases, immature and patriarchy exists. There is a lack of formality and continuity in their internal organizational structures. Chinese NGOs have yet to develop adequate mechanisms to govern, manage and supervise themselves. Another big problem is insufficient human resources and committed leadership. The low salary and benefits provided by NGOs cannot generally attract enough capable persons to work for them. This greatly affects the operational capacity of Chinese NGOs.<sup>1</sup>

Another major problem is insufficient funding sources. The Chinese Government is increasingly retreating from providing funds to NGOs and they have to support themselves, but the financial base for NGOs is weak or does not exist in China. Due to various reasons, China does not have a strong philanthropic culture in transition to free market economy. Enterprises are struggling for their own development and primarily give to government agencies and their close affiliates to gain some beneficial treatment. Many large state owned enterprises have serious financial difficulties themselves and do not have the ability to donate. There are virtually no corporate foundations in China. Although the Law of Donation was passed, no detailed regulations and explanations exist to enforce the law. The tax system in China also does not provide enough tax advantages for enterprises and individuals to donate. Therefore individual NGO's have to rely mainly on international donors.

As an independent NGO, CBIK has, to a large extent, matured through these initial difficult times. However, CBIK still faces the ongoing challenges of managing government relationship on the various laws and regulations and also, in particular, securing longer term funding. CBIK is currently in the process of strengthening its governance processes, seeking to secure financial sustainability and competent staff, fostering strong and relevant partnerships and continuing to build institutional and staff capacity.

Given the continually shifting internal and external environment CBIK recognises the need to adapt to constant change without losing sight of fulfilling the organisation's mission. CBIK is consciously self reflecting and continues to identify its own strengths and weaknesses.

### 3.3 A SWOT Analysis

The SWOT analysis below provides an overview and basis of CBIKs work identifying achievements to date and gaps that need to be addressed into the future.

#### Policy Initiative

<b>Strengthen</b>	<b>Weakness</b>
<ul style="list-style-type: none"> <li>● Yunnan Initiative as guidance</li> <li>● Established regional network on traditional resource rights and IPRs</li> </ul>	<ul style="list-style-type: none"> <li>● CBIK is Kunming-based NGO, distance from political center</li> <li>● Less experience on policy advocacy</li> </ul>

<sup>1</sup> Xiaohua Liu, 2001, NGOs in China: An overview

<ul style="list-style-type: none"> <li>● Translated book “Beyond Property Rights”</li> <li>● Actively participating national discussion on IPRs (with IPC of CAAS)</li> <li>● Policy action on dams and sustainable development</li> <li>● Joint with SEPA, IUCN, IISD training workshop on WTO, Biodiversity and Sustainable Development</li> <li>● GIS supporting system for decision-making</li> </ul>	<ul style="list-style-type: none"> <li>● Less qualified staff and awareness of CBIK members on policy issues</li> <li>● Lack of feasible policy instruments</li> </ul>
<b>Opportunities</b>	<b>Threats</b>
<ul style="list-style-type: none"> <li>● Increasing awareness of policy-makers and donors</li> <li>● Increasing recognition of CBIK after CUBIC and MMSEA conferences locally and abroad</li> <li>● Good links with international NGOs and policy advocacy groups</li> </ul>	<ul style="list-style-type: none"> <li>● Lack of political space for NGOs in the decision-making process</li> <li>● Lack of public support</li> <li>● Poor financial resources for NGO</li> </ul>

### Indigenous Initiative

<b>Strengthen</b>	<b>Weakness</b>
<ul style="list-style-type: none"> <li>● Focused field sites for learning: Mengsong (Xishuangbanna), Xiaozhongdian (Shangri-la), Luquan (Kunming)</li> <li>● Extensive farmer’s networks in the pilots sites</li> <li>● Several training workshops and manual development on Participatory Technology Development (PTD)</li> <li>● Localization of sustainable framework</li> <li>● Key topics: eco-tourism, agro-pastoralist livelihoods, agrobiodiversity, and organic agriculture</li> <li>● Support partners: Vocational Training School in Xishuangbanna, Nationality Institutes at Prefecture level</li> </ul>	<ul style="list-style-type: none"> <li>● Gap between experienced and inexperienced staff</li> <li>● Increasing demand from local communities and limited resources from CBIK</li> <li>● Poor understanding the link between indigenous knowledge and livelihoods</li> <li>● Lack of economic and marketing background</li> <li>● Needs of long-term commitment and values to work with indigenous people</li> </ul>
<b>Opportunities</b>	<b>Threats</b>
<ul style="list-style-type: none"> <li>● Village election and democratic construction</li> <li>● Increasing awareness of disadvantage groups, the ethnic, poor and women</li> <li>● Increasing demands for diversity of products from mountain region</li> </ul>	<ul style="list-style-type: none"> <li>● Rapid economic development and its polarization</li> <li>● Massive tourism and mainstream education</li> <li>● Resettlement and migration</li> <li>● Mono-culture plantation of cash crops</li> </ul>

### Mainstreaming of IK

<b>Strengthen</b>	<b>Weakness</b>
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<ul style="list-style-type: none"> <li>● Visualization of indigenous knowledge (video, post, calendar, multimedia, etc.)</li> <li>● Many years of inventory of good practices of IK</li> <li>● Small grant program for capacity building</li> <li>● Mapping sacred land</li> <li>● Community-based education</li> </ul>	<ul style="list-style-type: none"> <li>● Less experienced training staff</li> <li>● Need well-defined concepts and practices of IK</li> <li>● More good example of IK and its application to natural resource management and livelihoods</li> </ul>
<b>Opportunities</b>	<b>Threats</b>
<ul style="list-style-type: none"> <li>● Curiosity of outsiders for indigenous culture</li> <li>● Increasing demands of partners for training on IK, i.e., Partnership Community Development</li> </ul>	<ul style="list-style-type: none"> <li>● Less public awareness</li> <li>● Globalization and state simplification</li> </ul>

### Strategic Management

<b>Strengthen</b>	<b>Weakness</b>
<ul style="list-style-type: none"> <li>● Clear strategic plan</li> <li>● Strong International Advisory Board</li> <li>● Diversification of fund raising</li> <li>● Clear rules and regulation</li> <li>● Collective decision and openness for issues discussion</li> <li>● Good financial management</li> </ul>	<ul style="list-style-type: none"> <li>● Less committed staff for administration</li> <li>● Lack of NGO values for young staff</li> <li>● Young leadership and decentralization at program level</li> <li>● Need detailed work plan, monitoring and evaluation system</li> <li>● Need more constructive local board</li> <li>● Efficient management information flow</li> </ul>
<b>Opportunities</b>	<b>Threats</b>
<ul style="list-style-type: none"> <li>● Supportive partners</li> <li>● Good links and collaboration with Yunnan government agencies</li> <li>● Potential capacity building activities, e.g., Winrock International</li> </ul>	<ul style="list-style-type: none"> <li>● Need good NGO and Civil Society Law</li> <li>● Lack of local fund raising mechanism</li> </ul>

## 4. Performance of Programs in 2003

### 4.1 Watershed Governance Program

Focusing on the northwest and southeast of Yunnan Province and the Mekong River Basin the objectives of this program are to develop a holistic (vernacular versus official, scientific versus indigenous) understanding of the agro-ecosystems, its past and present land use and land cover changes and the underlying causes and drivers of change at a watershed level; Promote and facilitate dialogue among different actors involved and responsible for watershed governance; Improve human capacity and capability for environmental sound watershed and eco-system management at the landscape level, through consultation and technical, policy and institutional innovations derived during that process.

#### Main activities

- CBIK held the Workshop on Community Forestry Strategy Planning of Yunnan on 7th to 8th Oct. Kunming, participants from different institutes had finalized respective individual and collaborative action planning of Community Forestry Development for coming 2 years.
- Workshop on Dams and Sustainable Development was hosted by Watershed Governance Program, CBIK on 9th to 10th Oct. Kunming.
- CBIK has provided logistic support for the Ford EDAG meeting and Payment for Environmental Service Workshop in October 26-31.

#### Successes and lessons learned

- Capacity Building: Taking the responsibility on organizing those two events enhance the capability of Watershed Governance Program in respects of workshop and conference holding and organizing.
- Interactive Involvement and Knowledge Enhancement: Workshop on Community Forestry Strategy Planning also stimulates the Program getting actively engaged in the process of Yunnan Community Forestry Development. Through the use of the tool of Pyramid, the situation of recent Forestry Governance in Yunnan is diagnosed.
- Knowledge Dissemination and Enhancement: In term of the workshop on Dam and Sustainable Development, the program successfully facilitates the introduction and discussions of WCD (world Commission on Dam) report.
- Policy Advocacy: Based on the discussion of recommendations of WCD, the policy recommendation for dam construction is formulated in Chinese Context. Also, public letter of policy advocacy that aim to against the dam construction on Salween River was written.
- Collaboration and Partnership: both events had further strengthened the links and collaboration between CBIK and partners (such as IUCN, RECOFTC) based on different topics (Community Forestry and Dam). Those partnerships are contributed to CBIK activities in those respects take smoothly.

## 4.2 Community livelihood Program

Focusing on the upland areas of Southwest china the objectives of this program are to facilitate the knowledge, technical and institutional innovations of indigenous communities; enhance endogenous development and improve community livelihood and promote application of indigenous knowledge and technology in sustainable resource use and biodiversity conservation.

### 4.2.1 “Community based eco-tourism” project

With the financial commitment by ICCO, the Netherlands in 2001, implementation of Jisha project was made possible and was first activated in February 2002. The following is a summary of all fieldtrips as to July 30, 2002 with the focus on activities.

#### Successes and lessons learned

Jisha project has gone through some remarkable socio-political processes at the community as well as governmental and public levels. Over a period of one year, our objectives have involved from a more community-based eco-tourism operation, which is more technical, to broader

perspectives of rural resources governance. There are still some issues encountered in the project as follow as:

- Complicated relationship among key stakeholders, such as Township Government, External Business, Jisha Villagers and CBIK: Our information sources confirmed that real estate company treated township government officials extravagantly when they happen to be in Kunming.
- Lack of awareness and understanding about existing Chinese environmental laws and regulations that might be working for the local community.
- Media coverage: Jisha villagers' lack of access to environmental laws and regulation is not merely an issue of access. Their fear of repercussion by the township government also constraint them from taking collective action. Therefore, involving of media to expose their concern in a positive way becomes very important.
- Trust-building within the community: Level of trust among community members in Jisha appeared to be a concern too during the process of Jisha project management committee establishment.

### **Outcomes achieved**

The main outcomes are the following:

- Increased community solidarity after conflicts management
- On-going guest house construction
- Article written by LI, Bo, Xie Hongyan, Xu, Jianchu
- Li, Bo, Xie, Hongyan, March, 2003, Jisha Has a Dream, Cultural Geography, March, 2003
- Film and posters
- Established project web site: <http://www.ecoyunnan.org>

#### **4.2.2 “Enhancing the Livelihoods of Agro-Pastoralists in NW Yunnan” project**

The project is funded by International Development Research Center (IDRC), Canada, and implemented by CBIK in partnership with Animal Husbandry Bureau of Yunnan Province Agriculture Department from April 2003 to April 2005. The project aims to enhance the capacity of relevant stakeholders to support the development of sustainable livelihoods of agro-pastoralists in NW Yunnan. The project is working initially in two communities, one in Xianggelila County (a Tibetan community) and one in Gongshan County (a multi-ethnic community).

### **Successes and lessons learned**

1. Cooperative relationships have been established between CBIK, local technical agencies and community members in both project sites. Learnings: (i) community participation can be more difficult to facilitate where community organizations do not exist; (ii) involving technical agencies by commissioning them to undertake ‘Easily Achievable Tasks’ (EATs) is one way to ensure that agencies’ interests are met while involving staff in work in the communities.
2. Farmer-driven experiments are on-going: 30 farmers are involved in experiments designed jointly with project staff. Staff are learning from the former through repeat interviews each month. New ideas for new experiments and adoption of technologies provided are being generated by farmers. As next year’s growing season approaches it is becoming apparent that it is extremely important to understand the roles of technologies (e.g. grass seeds, silage

fodder) in household farming systems and the objectives of the farmers involved in the experiments. Farmers have their own way of monitoring experiments. The 'simple' monitoring forms provide were not successfully used.

3. Through various surveys and longer-term interaction with community members, project staff now have a better idea of how villagers live, what concerns and ideas they have and their expectations of the project. The key to developing greater mutual understanding is for CBIK project staff to spend as much time in the communities as possible.

### **Outcomes achieved in relation to CBIK's strategic goals:**

“Improve capabilities of local people for sustainable livelihoods and the well-being of human and non-human residents of mountain watersheds”:

- Introduction and preliminary adoption of fodder technologies by more than 30 households.
- A breeding bull has been provided to one community.
- Through facilitation, one community has developed better regulations for management of their collective artificial pastures.

“Generate environmentally sound and socio-culturally adapted knowledge for managing and conserving natural and cultural resources”:

- database of local knowledge of *Rumex nepalensis* (an invasive forbe) on alpine rangelands has been created.
- database of farmer-experimenters' observations and ideas under construction.
- preliminary report produced on local knowledge of alpine meadow grass species, and indicators and causes of rangeland degradation.
- Local technicians are now aware that there are a variety of yak-cattle hybrids, each of which has different characteristics, uses and values to the villagers.

“Enhance the capacity of committed researchers and development workers for interdisciplinary research, facilitation, documentation and dissemination in partnership with indigenous people”:

- Working papers on sustainable livelihoods and agro-pastoralist livelihoods have been produced and shared with other NGOs, research institutes and donor projects.
- Training provided for Yunnan Environment Bureau staff and international partners on sustainable livelihoods framework.
- Researchers are using computer-aided systems for documenting, representing and interpreting local knowledge as part of their work.
- A case study of using Ethnographic Decision Modeling techniques to understand households' decisions over technology adoption is being completed.
- Two young project staff have more experience of interacting with community members, of undertaking household interviews and ethnobotanical surveys and of designing and planning research.

“Offer means and methods for bridging between knowledge systems, political systems and cultures to contribute to a society of intercultural, intersectoral and interdisciplinary dialogue and cooperation”:

- Working papers on the use of the sustainable livelihoods framework to understand rural livelihoods have been produced; working papers on the use of AKT software in research on local ecological knowledge and on the use of Ethnographic Decision Modeling techniques are being finalized. These research frameworks and methods can be of assistance in enabling

outsiders to understand the rationality behind rural peoples' decisions.

- A Participatory Technology Development process is on-going. PTD can be a way to provide the opportunity for extension agents to better understand the knowledge and lifeworlds of the people they are meant to serve.

#### **4.2.3 Sustainable Agriculture for Livelihood Development in Uplands of Yunnan**

In order to improve the livelihood security and sustainability of farmers in rural upland, CBIK planned and implemented Sustainable Agriculture for Livelihood Development Project supported by MISEREOR. By means of Participatory Technology Development, the project has achieved to improve the capability and access of indigenous people and communities and therefore build their natural and social assets for sustainable agriculture and livelihood development in transition to market economy in uplands of Yunnan together with governmental agencies and other partners in two project sites, which are located in Luquan and Mengsong. The major activities in 2003 are as follow as:

In Mengsong site, Xishuangbanna:

- Establish the local community committee for project management to improve farmers' participation, decision-making, implementation capacity and democratic process during the project cycle.
- Participatory planning and design: Farmers' had decided to change previous 2000 mu swidden farm land to plant tea, walnut and vegetable as an alternative to swidden agriculture.
- Conduct community-based training and education based on indigenous knowledge, practices and innovations
- Infrastructure construction
- Perform participatory action research to enhance sustainable utilization of non-timber forest product species and rural governance

In Luquan site, Kunming:

- Participatory project site selection with different stakeholders
- Trainings for project partners on participatory action research and eco-agriculture
- Participatory project planning and design
- Document indigenous practice farming options developed in earlier phase and experiment organic farming practices

#### **Successes and lessons learned**

- Clarify the roles of different stakeholders in the project, and identify local project partners to carry out various activities
- Establish local community committee for project management to improve farmers' participation, capacity building and rural democratic process
- Design the project activities which concerned the need of local community
- Support women's need for development
- Integrate the research with development work
- Stay with farmers for a long time period to strengthen the communication and more understanding on local culture and farmers' need.

#### **Outcomes achieved in relation to CBIK's goals**

- Various trainings carried out to improve farmers' capacity on sustainable livelihood
- Alternative for local swidden agriculture to improve their agricultural output and environment conservation, such as planted 110,000 tea seedlings, 3000 waxberry, 3700 chestnut, and 3500 rattan.
- Local eco-agricultural technique manual made by farmers themselves through on-farm trials to improve the documentation of indigenous knowledge, communication and local innovations.
- Interdisciplinary and intersectorial project team built

## **4.3 Indigenous Knowledge Program**

Concerned with the impact of the socioeconomic changes upon the future of ethnic communities in SW-China this program's overall objective is to establish a participatory development process for the conservation and sustainable use of biodiversity, primarily for the benefit of the livelihoods of ethnic minorities.

### **4.3.1 "Support of Indigenous Knowledge for the Use and Conservation of Biodiversity"**

It aims that indigenous knowledge of ethnic minorities in South-west China is recovered and respected for the enhancement of the use and conservation of biodiversity, by creating and sustaining a dialogue between traditional experts / local innovators and scientists oriented to local practices and innovations. Six pilot areas for the Participatory Action Research were selected, which are all hot spots of biodiversity and demonstrate a high density of ethnic minorities with strong cultural identity. They are Jidi Tibetan Village and Haini Village in the highland Tibetan Plateau in Northwest Yunnan; Miheme Village in midland Yun-Gui Plateau in Central Yunnan; Taiyang Village, Laobo Village and Bamei Village in Lowland tropical area in Southeast Yunnan.

The main activities carried out in 2003 as follow as:

- Project activities at the community level: demonstration and introduction economic tree species, domestication of wild vegetable and medicinal plants, nursery building, local culture conservation and recovering, technique trainings, cross-visit and seed fair.
- Interdisciplinary researches on the issues of culture diversity and biodiversity in Yunnan:
- Capacity building for team: organizing project workshop, PRA training

#### **Successes and lessons learned**

- Domestication of wild vegetable and medicinal plants can increase local income sources and reduce the environment pressure from NTFP collection by local farmers.
- Participatory action research can improve the understanding and vernacular identification of indigenous knowledge.
- Participatory action research can improve farmers' participation and incentives for local innovations. They started to try different livelihood development strategies, share the information with other farmers by local network.
- Participatory project planning and design can empower local farmers to enable them make their own decision on taking part in the project activities which favored them in terms of

indigenous knowledge inheritance, community development and livelihood improvement.

- Not only strengthening capacity building of CBIK partner organizations but also diversifying the cooperation style between CBIK and its partner organizations have showed the positive impact on

#### 4.3.2 Naxi Papermaking Project

The papermaking project stresses a process of recognition of perceptions, knowledge and values by which a group utilizes its resources. The focus on culture gives a temporal dimension not only towards the past but also an orientation to the future. Moreover it implies the meaning they attach to the utilization of resources. It is not enough to say that is “the way of Naxi people” to make the paper. To take into account the “Naxi way” of producing paper one has to gain a deeper understanding of the explanations given by the members of the community about how they deal with their resources.

The main activities carried out by the papermaking are the following:

- **Identifying key papermakers:** during the pilot phase, Mr. He Shenwen was selected as key partner to work in the field for re-strengthening his papermaking knowledge, technology and access to markets;
- **Field experiment on propagation:** The nursery was established with forest specialist Yang Lixing from KIB for reproducing the Stringbush (*Wikstroemia lichiangensis*). The cuttings were planted in Feb-March, 2002 and following monitoring activities during September, 2002 and April 2003.
- **Identifying other papermaking sites in Yunnan:** the team has identified and visited 7 different papermaking sites, practiced by different ethnic groups, such as Naxi, Tibetan, Hani, Bai, Dai and Yi.
- **Improving paper workshop:** In June, 2002 preparation and signature of an agreement between CBIK and Naxi papermaker, He Shenwen to improve his workshop basically and for following other activities that will be accomplished until December 2002: a) dissemination of the Stringbush experiment under natural conditions, in the collective forest; b) motivating and organizing the community for the recuperation of Stringbush, and c) designing a quality training strategy to hand out the paper making knowledge to a small group of young people.
- **Establishing collaboration with local partner:** cooperation between CBIK and its partner the Dongba Institute in Lijiang has been established for joint field research, training and close monitoring of field activities.
- **Papermaking film:** the traditional Dongba papermaking process was illustrated by papermaker, Mr. He Shenwen, and was filmed in November 2001.

#### Successes and lessons learned

- Project activities improved the inheriting process of Dongba papermaking technology through the dialogue between young and old generation within the community.
- Through participatory market survey and resource investigation, farmers could access more market information, and knew the situation of market for trading Dongba paper.
- Capacity of project members on project planning and implementation has been improved

during the project implementation process.

- Successful experience on reproducing the stringbush has been obtained.

#### **Outcomes achieved in relation to CBIK's goals**

- To understand the different dimensions of indigenous papermaking: research paper based on the fieldwork, building papermaking website for information sharing.
- To promote traditional handmade paper: local technique innovation on papermaking, Training workshop on traditional papermaking taught by local farmer.
- To assess the impact of the promotion of papermaking on the ecology, biodiversity, cultural identity, social organization and economic benefits for the craftsmen and the community: on-farm trial of reproducing the stringbush, participatory resource investigation, making films on papermaking
- To create an exchange and networking activities between the different papermakers of different communities and ethnic minorities: farmer' cross-visit, local papermaking experts pool.

## **4.4 Capacity Building Program**

*Focusing on ongoing professionalisation of staff, members and resource persons CBIK will promote participatory approaches in attitudes, methods, tools and teamwork; provide learning opportunities for staff and strategic partners and create and improve its training capacity.*

Priority activities are:

- Training needs analysis and individual development plans
- CBIK training program including mentoring and leadership
- Refinement and implementation of Capacity Building Plan

### **4.4.1 Small grant project**

The objectives of small grant project aim to:

- Strengthen individual and institutional capacity in participatory and interdisciplinary research in ethnic minority areas;
- Understand the link between culture and biodiversity, culture and space in the environments, as well as resource dynamics between human and ecosystems;
- Apply indigenous knowledge for resource management and livelihood development

- **Success and lessons learned**

- The project has provided fund as well as technical support for 19 researchers (gender ratio: male: female = 9:10 including 12 are from ethnic minorities).
- The project provided three training workshops during project implementation.
- Final writing workshop was held at Dianchi Hot Spa Garden Hotel in Sept. 14-19, 2003.
- All final papers have been submitted at the end of 2003.
- Grantees suggested more dynamic and interactive learning processes are necessary, the small grant should not only focus on individual but also a team.

#### **4.4.2 Vocational Training School Project**

On behalf of Misereor, Vocational Training School Project (VTS) has been implemented by CBIK, collaborated with CANGO and VTS of Jinghong City for one and half year. During this period, we carried out various planned project activities to fulfill our goals, which try to develop the method of combining traditional production and indigenous knowledge with modern science and technology, to establish a rural economic development model with biodiversity conservation, to identify and practice special local products with a potential to serve the sustainable upland livelihood, and to adopt the effective vocational skill training approach for adults.

By using participatory approach and the approach of learning by doing, trainings have been carried out with the trainees from the teachers of the vocational middle school, village authorities and farmer-technicians of the pilot villages, where selected from Guanlei Town (Mango tree village, Yao minority), Gelanghe Town (Nannuoshan village, Hani minority), Gasha Town (Lahu minority), Gadong Town (Bulang and Lahu minority), Mengyang Town (Kongge people), Menglong Town (Hani minority), Jinuo Town (Jinuo minority). The main activities are as follows:

- Evaluate the impact of the previous trainings and project activities.
- Design jointly with VTS-trainers the Summer Fair.
- Summer Fair in June organized by VTS, assisted by CBIK
- Develop the training manual on visualized education method.

#### **Successes and lessons learned**

- New cooperation with CBIK partner organization: in order to improve the capacity building of our partner organization, VTS project is carried out independently by VTS. CBIK provides the support and backstopping for the project planning and implementation.
- Summer Fair: improving agricultural diversity through species exchange, improving information accessibility on productive agricultural activities and market strategies, improving the sense of self-pride among local community participants, improving political dialogue

#### **Outcomes achieved in relation to CBIK's goals**

- Strengthening capacity building of CBIK partner organization on project management, implementation and understanding of indigenous knowledge and community livelihood.
- Improving the local farmers network through Summer Fair
- Application of participatory approach in the adult education project

#### **4.4.3 Winrock NGO capacity building project**

In order to take part in the NGO Capacity Building Program organized by Winrock International Institute for Agricultural Development Beijing Office, supported by Ford Foundation, there were four pre-evaluation meetings held in CBIK during 4-6 November of 2003. Dr. Deng Guoshen from Qinghua University facilitated and assisted us to address the essential fields for capacity building in CBIK by all staff, who were in Kunming currently. There was 15 CBIK staff evolved in questionnaire survey, 11 evolved in voting for prioritized fields of capacity building and

designing for future program activities. The results for future capacity building in CBIK were: a) staff career development, b) work plan and progress evaluation, and c) finance and information management. The draft of proposal for applying this two-year program was sent by Qian Jie to Deng Guoshen before November 19. The participation of CBIK into this project had been confirmed. The detailed plan was discussed in CBIK together with the international consultant, Dr. Mae Chao, from 23-27 December.

#### **4.4.4 External trainings**

- Sending Mr. Li Bo for training course on Community-based Tourism in Thailand, in February 2003, sponsored by RECOFTC.
- Sending Mr. He Jun for training course on “Improving the Quality of Teaching in Forestry and Agriculture at Colleges and Universities” in Germany, October 2003, jointly sponsored by German Foundation for International Development and CBIK.
- Sending Ms. Wang Yu for the Training Program on “Social/Gender Analysis in Natural Resource Management (NRM) and biodiversity” in Northeast India, 10-24 October 2003, sponsored by IDRC and PRGA in Shillong,.
- Sending 7 project staff for training course on “Local Ecological Knowledge and Agroecological Knowledge Toolkit Software” in China, 18-20 November 2003, organized and sponsored by ICRAF-Kunming office.
- Sending Mrs. Qian Jie and Mr. He Jun for the training on fundraising in Kunming, 26-27 December, organized and sponsored by Winrock-Beijing office.

#### **4.4.5 Internal trainings**

- CBIK held the training on using GPS for project staff in March 2003. There were eight staff participated to learn how to use GPS and related software.
- CBIK held the training on Participatory Rural Appraisal (PRA) for all staff that was interested in July 2003. Project staff had further learnt how to use different tools properly for particular project objectives. And supporting staff also understood the importance of PRA methods in the development work and were willing to help those project staff for future data coordination and analysis.
- CBIK held the training on Logframe (Logical Framework) for all staff that was interested on December 2<sup>nd</sup>, 2003. In order to grasp how to make logframe, there were five projects carried out in CBIK that had been practiced to make relative logframe accordingly by the trainees. By learning this tool to link the goals, objective, output and activities of the project or program together, the feedback from the trained staff was positive. They all realized the logframe could be helpful for the management and implementation of the project or program.

#### **4.4.6 CBIK forum**

(Due to the busy schedule from January to March and SARS later on, CBIK Forum did not proceed in the first half year.)

- July 9<sup>th</sup>, Karen Russell and Simon Brascoupe, “Iroquois hair comb art”.
- July 9<sup>th</sup>, Jesse Ribot, “Decentralization and natural resource management”.

- August 5<sup>th</sup>, Ben Hillmen, “Understanding governance”.
- August 14<sup>th</sup>, Deng Xiqing, “The use of GIS technology in the project”.
- August 18<sup>th</sup>, Timothy Moermond, “Participatory biodiversity assessment and evaluation”.
- November 21<sup>st</sup>, Josep A. Gari, “Plant diversity in the struggle against food security and HIV/AIDS”.

#### **4.4.7 English corner**

English Corner takes place from approximately 3:30 to 4:30 every Friday routinely and approximately 15-20 staff members attend. Every month, one English Corner is designated a presentation corner where either we get someone from the outside to speak to us or where the students themselves present. If English Corner is not a presentation corner, we focus on standard useful English using a standard lesson procedure, beginning with any questions from the last lesson, next we focus on new vocabulary, move on to useful phrases, and then to dialogues. After practicing dialogue and creating new sentences, we move on to the final part of the lesson which is listening comprehension. First English Corner started November 7<sup>th</sup> this year. It has been carried out for two months. And we can see the progress of CBIK staff on speaking, listening and writing in English continuously.

## **4.5 Communication Program**

The focus of this program is to better engage CBIK in intercultural and policy dialogue at regional, national and international levels. Its objectives are to:

- improve cooperation between different disciplines, departments, institutions and people
- promote conservation of indigenous knowledge and biodiversity within community development
- Accumulate knowledge and innovate knowledge

Priority Activities are:

- to strengthen internal and external communications through print, film and web based media
- development and implementation of e-library and e-museum
- CBIK webpage and internet maintenance and upgrading

#### **4.5.1 Conferences Attended**

- Li Bo had attended “Asian Social Forum” in India in January of 2003.
- Xu Jianchu, Hu Jun, Li Zhinan and Li Bo had attended the International Conference on “Politics of the Commons” in Chiang Mai, Thailand in July of 2003.
- Li Bo, as the only Chinese NGO representative to the WPC, had attended the Vth IUCN World Congress “Benefits beyond Boundaries” in Durban, South Africa in September of 2003.
- Xu Jianchu and Li Bo had attended the International Workshop “The Payment of Environmental Services: Exploring Experiences, Realities and Potentials” organized by the Ford Foundation EDAG, 27-29 October 2003, Shangri-la, Yunnan.
- Li Bo and Simone Murray had attended “The Third Non-governmental Organization Forum on International Environmental Cooperation” in Beijing on 18-20 November 2003.

- Xu Jianchu and Qian Jie had attended the technical workshop on “People and Resources Dynamic Project” in Kathmandu, Nepal, on 8-10 December 2003.

#### 4.5.2 Workshop and training services

- **(Free services for both meeting room and facilities)** CBIK staff assisted Regional meeting of “People and Plants” in Kunming on July 27 2003.
- **(Free services for both meeting room and facilities)** CBIK staff assisted the introduction meeting of Winrock’s NGO Capacity Development Program in Kunming, on October 14 2003.
- CBIK staff assisted and contributed to the great success of the International Workshop “The Payment of Environmental Services: Exploring Experiences, Realities and Potentials” organized by the Ford Foundation EDAG, 27-29 October 2003, Shangri-la, Yunnan.
- **(Free services for meeting room, facilities and interpreter)** CBIK staff assisted the learning workshop on social analysis organized by Yunnan NGO Forum on November 8 2003.
- CBIK staff assisted the workshop on Participatory Monitoring and Evaluation Network and field visit on November 6-9 2003.
- CBIK staff organized the training on Indigenous Knowledge in Nanning, Guangxi, on 12-16 November 2003.
- CBIK staff assisted the training course on “Local Ecological Knowledge and Agroecological Knowledge Toolkit Software” in Kunming, 18-20 November 2003, organized and sponsored by ICRAF-Kunming office.
- **(Free services for both meeting room and facilities)** CBIK staff assisted the information sharing and experiences exchange among Yunnan NGOs organized by Yunnan NGO Forum on November 8 2003.
- **(Free services for both meeting room, facilities and interpreter)** CBIK staff assisted the training on fundraising in Kunming, 26-27 December, organized and sponsored by Winrock-Beijing office.

## 4.6 Institutional Development Program

Focusing on the need to strengthen and manage ongoing organizational governance and planning, leadership, internal management policies and practices, human resources, resource development, financial management and program capacity building CBIK will continue to cultivate values of civil society and an organizational culture of cooperation and process.

Priority activities to be addressed are:

- Governance – sustainability of IAB
- Financial accountability
- Long term funding strategies
- Monitoring and Evaluation- institutional, program, and projects
- Partnership building
- Short to medium term planning 3-5 years
- Human Resource Plan

#### **4.6.1 3rd International Advisory Board Meeting**

There was the 3<sup>rd</sup> International Advisory Board (IAB) meeting held in Kunming on July 25-26, 2003. It was the first time full board met, who were Nick Menzies, Percy Sajise, Uraivan Tankimyong, Jeff Romm, Francis Seymour & Tony Cunningham. The deep discussion and task confirmation of IAB had been on-going in the whole process, such as conducting the mid-term review, providing professional guidance for administration, institutional & program development, and linking CBIK up with international organizations for information sharing & potential fund raising so on and so forth. Several issues related to strategic plan and capacity building within CBIK were also raised up and discussed carefully.

#### **4.6.2 Human resource plan**

With the support of Institutional Development Specialist from Australian Volunteer International, CBIK executives have initiated and carried out the human resource plan in order to achieve better management of human resource. Several key activities have been implemented as follow as:

- Gap analysis completed;
- Human Resource Plan Framework drafted;
- Induction Kit completed;
- Job description survey completed;
- Classification process started;
- Code of conduct drafted;
- Individual Development Plan template drafted

## 5. Financial Statement

### 5.1 Overall Financial Report in 2003

	Total Cost (¥)	Funded (¥)	UN-funded (¥)
Salaries	<b>483,501.10</b>	<b>483,501.10</b>	
Senior researchers	274,285.10	274,285.10	
Project staff	79,012.00	79,012.00	
Local staff and partners	130,204.00	130,204.00	
Project activities	<b>1,174,146.28</b>	<b>1,174,146.28</b>	
Allocated to others	121,517.00	121,517.00	
Travel	594,660.37	594,660.37	
Training	51,569.62	51,569.62	
Consultant and transportation	104,277.90	104,277.90	
Equipment	123,869.74	123,869.74	
Publication and post	72,537.31	72,537.31	
Management	79,497.36	79,497.36	
Others	26,216.98	26,216.98	
CBIK Institutional development	<b>139,643.09</b>	<b>79,528.72</b>	<b>60,114.37</b>
Membership activities	5,471.92		5,471.92
Local Board	12,814.68		12,814.68
International advisory board	79,528.72	79,528.72	
Workshops	31,805.72		31,805.72
Fund raising activities	10,022.05		10,022.05
Administration	<b>697,920.73</b>	<b>387,747.95</b>	<b>310,172.78</b>
Senior managers	60,929.79	35,368.00	25,561.79
Administrative staff	119,648.86		119,648.86
International consultants	23,533.91		23,533.91
Staff social benefits	35,754.45	23,267.85	12,486.60
Fixed assets	291,410.00	280,930.00	10,480.00
Water and electricity	12,575.10		12,575.10
Office supply	23,819.70		23,819.70
Library	7,291.15		7,291.15
Telecommunication(e.g. internet)	37,277.60	18,000.00	19,277.60
Office maintenance	17,893.80		17,893.80
Vehicles	58,009.48	30,182.10	27,827.38
Financial auditing	4,870.06		4,870.06
Others	4,906.83		4,906.83
<b>CBIK Grant Total</b>	<b>2,495,211.20</b>	<b>2,124,924.05</b>	<b>370,287.15</b>

## 5.2 Ford Financial Report

GEANTEE: Center for Biodiversity and Indigenous Knowledge

GEANRT NUMBER: 1010-0660

PERIOD OF GRANT:1/1/2003-12/31/2003

AMOUNT OF GRANT: \$315,000

DATE SUBMITTED:

PERIOD COVERED BY THIS REPORT-FROM:1/1/2003

TO:12/31/2003

Budget Category	Approved Budget		Expenditure		Balance	
	US	\$	US	\$		RMB
Small grants program	108,000		108,090		892,823.40	-90
Salaries and office costs	125,000		125,000		1,032,500	0
Training and degree study	45,000		45,020		371,865.20	-20
International board meeting	15,000		15,000		123,900	0
Publication	22,000		22,000		181,720	0
Total	315,000		315,110		2,602,808.60	-110
Rate: RMB:USD=8.26:1	Signed Financial Officer:					

Prepared by:

Xu Jianchu, PhD  
 Executive Director  
 Center for Biodiversity and Indigenous Knowledge  
 March 21, 2004

Li Zhengli  
 Financial Officer, CBIK

## THE FORD FOUNDATION-FINANCIAL REPORT

### 福特基金会

Total amount of Grant: USD \$315,000

Date:2001-01-01—2003-12-31

序号	Budget Category 预算	Approved Budget USD	Expenditure						Balance USD
			2001 年 USD \$	2001 年 RMB ¥	2002 年 USD \$	2002 年 RMB ¥	2003 年 USD \$	2003 年 RMB ¥	
1	Small grants program 小项目经费	108,000	18,871.89	155,881.81	44,664.78	368,931.10	108,090	892,823.40	-90
2	Salaries and degree study 工资及办公室费用	125,000	125,000	1,032,500	125,000	1,032,500	125,000	1,032,500	0
3	Training and degree study 培训费	45,000	13,555.38	111,967.44	26,357.22	217,710.64	45,020	371,865.20	-20
4	International board meeting 国际理事会	15,000	12,821.01	105,901.54	15,000	123,900	15,000	123,900	0
5	Publications 印刷	22,000	20,967.55	173,191.96	20,967.55	173,191.96	22,000	181,720	0
	Total 合计	315,000	191,215.83	1,579,442.75	231,989.55	1,916,233.70	317,113	2,604,811.6	-110
	Rate: RMB:USD=1:8.26								

## 6. CBIK Directory

### **International Advisory Board:**

Dr. Frances Seymour, USA  
Dr. Percy Sajise, Philippines  
Dr. Jeff Romm, USA  
Dr. Uraivan Tan-Kim-Yong, Thailand  
Dr Anthony Cunningham, AUstralia  
Dr. Nicholas Kay Menzies, Swiss

### **Board of Director:**

Prof. Pei Shengji  
Yang Yuming  
Hu Haiyan  
Rose Niu  
Zhang Jianbang  
Li Dezhu  
Wang Chun  
Xu Jianchu  
Yang Yongping  
Yin Shaoting  
Li Chun  
Yang Fuquan  
Qian Jie

### **Executive Directors:**

Dr. Xu Jianchu, Director  
Mr. Wang Chun, Deputy Director  
Mrs. Qian Jie, Deputy Director

### **Watershed Governance Program**

Mr. He Jun, Head of Program  
Mr. Wang Wei, GIS technician  
Mr. Chen Xuecong, Rural Development  
Mr. Andrew Willson, Australian Volunteer

### **Community Livelihood Program**

Mr. Li Zhinan, Head of Program  
Mr. Li Bo, Head of Zhongdian Office  
Mr. Zhao Zhiming, Forester  
Mr. Andreas Wilkes  
Project officer of Rangeland Initiative

Mr. Shen Shicai, Technician  
Mr. Shen Dingfang, Technician

### **Indigenous Knowledge Program**

Ms. Zeng Yiqun, Head of Program  
Ms. Wang Yu, Biology

### **Capacity Building Program**

Ms. Wang Yu, Head of Program  
Ms. Pu Luoping, Technician  
Ms. Simone Murray, Australian Volunteer

### **Communication Program**

Mr. Lu Bin, Head of Program  
Ms. Chen Yuan, Internet maintenance

### **Support service**

Mrs. Li Zhengli, Head of Financial Office  
Mrs. Guan Yuandong, Accountant  
Prof. Chen Sanyang, Library & editor  
Mrs. Luo Qiongqian, Facility services  
Mr. Zhu Jianhua, Driver  
Mr. Xu Xida, Security