

East Africa Regional Workshop on Private Sector Engagement in Mitigation Actions

Dario Brescia, Stephan Hoch

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Climate Group GmbH
Hugstetter Str. 7
79106 Freiburg, Germany
info@perspectives.cc
www.perspectives.cc

Key Messages

The Paris Agreement (PA) lays the foundation for a new and ambitious global agreement to fight climate change. (Intended) Nationally Determined Contributions (INDCs) are a cornerstone of the new agreement as they contain the sum of each country efforts towards mitigation targets. However, the (I)NDCs do not have a sufficient level of detail to define their practical implementation in the target sectors. This uncertainty remains a **key barrier for private sector investments into mitigation actions.**

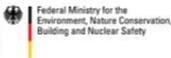
The Kyoto Protocol's Clean Development Mechanism (CDM) reform efforts have led to greater CDM update in East Africa, in particular CDM Programme of Activities (PoA) that support e.g. sustainable energy access activities. Methodological simplifications improve access to the CDM for both the public and the private sector. Market mechanisms play an important future role in the PA, but their scope and rules still need to be negotiated. Hence it is necessary to **manage the transition from existing mechanisms towards the PA mechanisms.** This strengthens political certainty and investor confidence in climate policy instruments such as the CDM and future mechanisms.

Nationally Appropriate Mitigation Actions (NAMA) can serve to convert high level targets contained in the (I)NDCs into policies and sectoral action plans. Thus, NDCs could be the sum of the efforts of different NAMAs developed in one country for different sectors. Provided sufficient financial support, NAMAs can move from conceptual design phases to implementation. Strong NAMAs improve regulatory certainty which helps stimulate private investment.

Climate finance is becoming increasingly important to support the implementation of NAMAs and climate policy instruments. An increasing number of climate financing institutions such as the NAMA Facility and the Green Climate Fund (GCF) are operational and help to leverage private investments. The CDM also serves as a basis to deliver results-based climate finance.

East African countries can effectively mobilize private investment creating a link between NAMAs and the Clean Development Mechanism (CDM) Program of Activities (PoAs). While NAMAs provide the mitigation trajectory for an entire sector, the CDM provides a pipeline of concrete activities that can immediately be leveraged. Many PoAs in the region are now fully registered, despite the low CER price, and can serve as a framework for scaled-up mitigation action.

Stronger cooperation between public and private sector organizations is necessary for scaling up mitigation efforts: strengthening the dialogue between the two sectors is a high priority. Capacity building strengthens local expertise and know-how e.g. for developing bankable projects and project/program management skills. In the case of the public sector, capacity building is also needed to improve policy development.



Background and objectives of the workshop

The Paris Agreement provides a new multilateral agreement for international climate policy, but also requires raising ambition. In order to achieve this, the PA also establishes the long term relevance of market mechanisms in the future international climate agreement after 2020. Under the PA, all countries contribute to global mitigation efforts, based on their nationally determined contributions (NDC). However, the full implementation of NDCs would require huge investments of up to 4,500 billion USD. Public resources cannot match these needs alone: Therefore, it is necessary to mobilize private sector investment and harness to potential of existing climate policy instruments already in the short term (i.e. pre-2020).

On the September 21-22, 2016, the workshop “East Africa Regional Workshop on Private Sector Engagement in Mitigation Actions” was held in Entebbe, Uganda, co-hosted by Gesellschaft für Internationale Zusammenarbeit (GIZ) Uganda and the UNFCCC Regional Collaboration Center (RCC). The workshop (WS) focused on identifying suitable mechanisms and policies for stronger involvement of private enterprises in mitigation activities, as well as which role public institutions can take to facilitate ambitious mitigation investments. The WS brought together a wide range of participants from different backgrounds: representatives from public entities (government, national funds, UNFCCC), financial institutions as well as representatives from private companies involved in CDM and NAMA development, renewable energy sector, private sector associations, and consultants. The workshop focused mainly on mitigation activities, but also gave importance to sustainable development co-benefits of mitigation interventions (reducing fuel import costs, job creation, additional income for community organizations, reducing deforestation etc).

The main objective of the workshop was to facilitate a discussion between public and private sector actors, and strengthening their understanding of how to benefit from climate policy and finance instruments (CDM, NAMA) for NDC implementation. This included case studies of how to access different sources of international finance to support the implementation of the mitigation activities, i.e. GCF and NAMA Facility. The workshop also aimed at engaging policy makers to discuss new approaches to mobilize and support private investments in mitigation, from climate funds to regulatory development. The participants also discussed several case studies from the region, sharing the lessons learnt and the barriers encountered.

Climate policy instruments under the PA

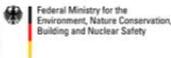
The workshop addressed the importance of an orderly transition for CDM activities, in particular PoAs, towards new mechanisms under the PA (see the presentations “Transition from CDM to the new mechanisms under the Paris Agreement– Pre & Post 2020 climate regime” and “The future of market mechanisms; opportunities for the East African region”). This transition on the global level needs to take into account the specific African circumstances in order to safeguard the achievements made, and to promote private sector participation even in the short term (i.e. pre 2020). Moreover, an

increasing number of developing countries initiate domestic carbon pricing initiatives which can also stimulate private sector involvement.

There are already different ongoing mitigation activities in East Africa, both NAMAs and PoAs, that could be linked together: these linkages would reinforce the respective strengths of each mechanism and achieve stronger efforts toward national mitigation goals. As presented by the Kenyan case study (Session: “Experiences on how the private sector can support government led climate mitigation initiative”), when considering a bottom up approach to NAMA, one PoA could be the initial step for the implementation of mitigation actions that can be successively scaled up and eventually lead to the definition of a broader NAMA. The Kenyan examples showed also the most important features of NAMAs: financial structure, institutional ownership and alignment with national goals, MRV of implementation and results. These aspects are also an important part of any PoA: developing linkages with NAMAs may thus speed up implementation, scale up mitigation results, ensure transparency and credibility through solid MRV, ensure alignment to national priorities and engage with potential new sources of climate finance.

Another example of possible linkages between NAMAs and CDM PoAs is the “Improved Cook Stoves for East Africa” (ICSEA) PoA. This PoA, developed by Uganda Carbon bureau, has already a multi-country boundary and combines several mitigation measures with potential to be scaled up quickly as it is already registered at the EB and as such inclusion of CPAs takes only a limited time. The ICSEA PoA works closely with local communities and aims at delivering mitigation benefits but also a real support to the local communities that ultimately utilize various types improved cook stoves. This PoA is of great interest due to the potential for scaling up (in Uganda and in other countries), sustainable development benefits and ongoing new CPAs inclusion. This PoA offers potential linkages with Uganda’s Green School NAMA.

Moreover, using CDM methodologies enables mitigation action in a harmonized measurable and verifiable manner. This streamlining of MRV methodologies is important as it can be used under the GCF or the NAMA Facility, thereby ensuring that mitigation efforts towards (I)NDCs targets are tracked in a comparable and verifiable manner across sectors and across countries. Linking carbon market activities with NAMAs may contribute to accessing bridge finance in the short term, before carbon market demand may resume. For international and national sources of climate finance, the CDM pipeline could be scaled up quickly and thus rapidly deliver results. There are already more than 30 registered PoAs in the East African region, managed by both private and public managing entities. The existing CDM pipeline can serve to identify bankable projects that are already available for implementation and that can mobilize private investments in the short term. When linked with national policies and ongoing activities, PoAs offer the particular advantage that they can be scaled up if they are able to support from Climate Finance Institutions (e.g. GCF, NAMA Facility). Being already registered with the CDM Executive Board, inclusion of new CPAs in an existing PoA would only require limited transaction costs compared to a new full registration process, allowing the possibility of quickly scaling up the proposed measures. The programmatic approach provided by the PoA fits the NAMA concept very well, as it allows a continuous inclusion of so-called Component



Project Activities (CPAs) over time, its geographical boundaries can cover several countries and different technologies. NAMAs are already linked to NDCs, as they provide concrete sectoral measures for implementing mitigation activities. These linkages have been elaborated in the presentation on “Linking policy instruments: integrating CDM into NAMAs and NDCs” (Perspectives), stressing the importance of accessing GCF and other sources of international climate finance.

Role of the public sector to strengthen private involvement in mitigation action

The public sector can develop effective regulatory/policy frameworks to support private sector investment in mitigation actions. The cases of Rwanda (“Rwanda’s experience on policy incentives and regulatory frameworks that support private sector investment in mitigation actions”) and Uganda (“Incentives for private sector participation”) have been presented to show the efforts of these countries in setting appropriate incentives and regulatory frameworks targeting both emission reductions and economic and social development.

The public sector has an important role in mobilizing private participation, for instance through engagement models covering different types of sectors where private and public can beneficially work closely (“Role of private sector in implementation of NAMAs; how NAMAs relate to INDCs”). The Kenyan case study has been presented (“Experiences on how the private sector can support government led climate mitigation initiative”), highlighting lessons learnt and pitfalls encountered during the NAMAs development phase, alignment to national goals, definition of the appropriate institutional set up and identification of financing models.

The contribution from the public sector is very important and there are already several activities ongoing. These concern both the development of NAMAs, as in the case of Uganda, (“Uganda NAMA experience; Green Schools NAMA- Uganda carbon pricing initiatives”) and also regarding carbon pricing initiatives, with South Africa being the most prominent example in the continent with the setting up of a carbon tax (“Experiences with the South African carbon tax”). These examples show concrete activities that the governments can put in place to mobilize private sector mitigation action.

Access to climate finance is a crucial link to mobilize private involvement. Key institutions include the GCF and the NAMA Facility, who presented their experiences with private sector access to both institutions (“Green Climate Fund” and “Experiences with the NAMA facility”) and what are the potential barriers. An additional potential source of climate finance has been introduced (“Financing credit line for RE and EE projects”), where the EU and Agence Française de Développement (AFD) is providing a green credit line and technical assistance to renewable energy and energy efficiency projects in Kenya, Tanzania and Uganda, in close cooperation with local banks.

How existing mechanisms can mobilize private mitigation finance

As the PA has now been ratified and will become legally binding already in November 2016, the NDCs will formally become each country's contribution to reach the agreed limit well below 2 C°. Still there is a lack of clear implementation modalities and regulations for achieving the mitigation targets in the NDCs. Private companies are hence not yet investing strongly in climate efforts due to the political uncertainty and also the lack of implementation rules for the operationalization of the new mechanisms under the PA. Without sufficient confidence, very limited private investments can be mobilized in the short term (pre-2020).

In order to overcome this barrier, it is possible to build on existing mechanisms, such as CDM PoAs, to leverage mitigation investment that can be linked to a broader NAMA and ultimately to the NDCs targets ("Programmatic CDM and how it relates to NAMAs to enhance private sector engagement"). This concept has been further elaborated and supported by actual PoA development in East African countries: one example in Uganda ("Improved Cook Stoves for East Africa"), with a PoA combining different technologies for cookstoves and covering different countries. The second case study was introducing multiple PoAs covering different technologies and countries, with different financial structure and CERs use. In both cases, it has been shown how the PoA, despite the very low CERs price, can help securing finance beyond the traditional carbon market, accessing alternative sources of finance, for instance leveraging the high sustainable development component, and joining forces with other actors in the market (e.g. microfinance). The programmatic approach also allows project developers to benefit from initial high efforts for the PoA registration at UNFCCC, but then benefitting from quick inclusion of new CPAs in the following phases.

An important source of support for private investments for NAMAs implementation is provided by national climate funds. National funds can tailor their intervention on actual domestic context, identifying priority sectors, defining engagement rules and modalities as demonstrated by the in the cases of Rwanda ("Private sector engagement in mitigation actions") and Uganda ("The role of National Climate Funds in mobilizing funds for NDC and NAMA implementation"). Existing barriers have been highlighted, such as limited availability of financial instruments, limited equity from private companies, and low level of awareness, which are common to different countries.

Ongoing private initiatives

As the practical implementation rules under the PA are likely to take years before a clear and stable regulatory framework will be agreed, private sector involvement currently remains focused on CDM activities or operates independently of climate finance mechanisms. However, there are many ongoing activities carried out by private companies. In some cases the mitigation motive is also supported by different interests beyond climate. These range from improving workers living conditions, better operations/final output, strong relationship with the territory, diversifying the business model and factoring in sustainable development considerations or tapping business opportunities not yet covered by other actors. Several different cases have been presented, including



the case of a Private Sector Foundation in Uganda focusing on renewable energy development and energy efficiency (“Best practices to access financing for private sector engagement in climate change mitigation actions”); a private association in Kenya (“Clean energy promotion program”), as well as two private companies investing in mitigation project in different sectors in Uganda factoring in also sustainable development considerations in their business operations.

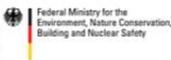
Interactive session

The workshop also included an interactive session that facilitated dialogues among the participants, including between public and private sector representatives. Divided into three groups, the participants were asked to answer three questions:

- What can the public sector do?
- What can the private sector do?
- How to strengthen the private/public dialogue?

Participants also discussed specific case studies based on the choice of the group. The participants then prioritized one key issue for immediate action. The main results of this session are reproduced in the table below.

	Group 1	Group 2	Group 3
Approach Selected by the group	- Specific project	- Different mitigation actions (fuel blending, clean cooking, off-grid electrification)	- General approach
What can the public sector do?	- Allow energy mixing for the producers - One stop shop to address all public concerns/questions - Map available resources and capacities - Efficient use of available resources to avoid overlaps/ conflict - Power purchase guarantees	- Generate competition - Regulation and standards - Awareness and research - Access climate finance	- Prioritize laws - Monitoring of implementation of climate actions supported by climate finance - Climate finance readiness - Carbon pricing at domestic level - Capacity building on carbon markets for high level officers/MPs/ministries
What can the private sector do?	- Resource mapping - Improving project management - Ongoing stakeholders engagement over the project lifetime - Tailor made financial instruments and setting credits lines	- R&D and innovation - Investments - Skills and knowledge	- Strong lobbying with government - Speak with one voice - Resource allocation and coordination (private resources to allow functioning and effectiveness of associations) - R&D on practical application of technologies on the ground
How to strengthen the private/public	- Involve local government - Private sector involved in national planning	- Association of sector/industry - Establish specific desks in ministries that deal with specific	- Involve key individuals in high level positions in both government and private sector bringing them to the same table



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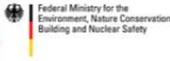
<p>c dialogue?</p>		<p>topics/issues or also platforms to link different associations/companies</p> <ul style="list-style-type: none"> - Transparency 	<ul style="list-style-type: none"> - “Climate Change group of elders” that would drive the climate discussion. Single individuals can drive important decision - Joint sector review with regards with climate change (platforms to discuss the legal/practical situation of one sector)
<p>Key issue</p>	<ul style="list-style-type: none"> - Sourcing finance: delivery models the work in East Africa 	<ul style="list-style-type: none"> - COORDINATION : Ensure continuous public/private dialogue 	<ul style="list-style-type: none"> - COORDINATION: RE and industry associations dialogues with interministerial committee

Conclusions

During the two days’ workshop, several common points have been raised and discussed by the participants. The conclusions draw on points of convergence in discussions, as well as joint reflections throughout the workshop. The most important conclusions and recommendations are valid across different countries:

- **Strengthen policy and investment certainty:** Even though the PA may now be ratified, there is still some uncertainty from the private sector point of view. On the global level, it is necessary to develop a set of rules, modalities and procedures to operationalize the new mechanisms defined by the PA. This would create the necessary certainty for private companies to invest in mitigation actions at scale. However these rules are likely to take a few years before being negotiated and finalized. Hence it is important that governments implement their own carbon pricing initiatives to stimulate mitigation investments in the short term. The definition of a set of policy instruments to be implemented for achieving the mitigation targets under the (I)NDCs is a key step to attract private investment. The new policy instruments should build on the existing mechanisms such as the CDM, to mobilize private support quickly. The CDM could be used as a tool to access international climate finance (such as the GCF) and, through the linking to NAMAs, it would ensure participation in achieving the (I)NDCs targets. It will be important to exploit synergies existing between these instruments, but it is also necessary to carefully avoid potential trade-offs that could jeopardize ongoing mitigation activities. A good example is the co-existence of NAMAs and PoAs, for instance in Uganda. The Green Schools NAMA pursues similar objectives than the ICSEA PoA. However, both programmes require additional financing. Hence, it is important to work towards synergies between the NAMA and the PoA. For instance, the PoA provides a high degree of certainty on the mitigation results through the CDM programme cycle, as well as a potential source of revenue through CERs. The NAMA can improve the policy framework that helps scaling up related actions, and can be another conduit to access particular sources of finance, e.g. from the NAMA Facility. In order to maximize the benefits for the host country, it is important to avoid trade-offs and maximize synergies.

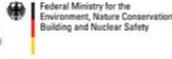
- **Capacity building:** it has been stressed by participants from different countries that there is a need for developing sufficient expertise and know-how related to mitigation investments. This is true for the technical side for the actual implementation and management of projects and programmes, and ultimately to develop bankable mitigation projects. Capacity building will help private companies to include effectively climate change in their business models. The issue of lack of capacity however applies to public institutions: it does not affect only the policy development level, but also for preparing bankable project proposals that can benefit from wider climate finance opportunities and for the actual implementation of mitigation activities. This also includes the need for raising awareness and general lack of information on mitigation options, such as EE interventions.
- **Cooperation between public and private sector:** strong cooperation between the two sectors is a key factor for success of climate policies and achievement of mitigation targets. One of the most common issues in this regard is the need of ensuring that proper communication channels are in place and are able to convey the required messages. Climate change will have to be taken into consideration by high level official in the national institutions but also top managers in private companies. It becomes then necessary to facilitate the exchange of ideas and information so that also bottom-up activities can spring. It would also allow a more constructive participation of the private sector in defining the operational framework in which they will operate. There are already several examples where the public sector is trying to support private sector mitigation actions, through provision of training and financial support. For example Rwanda's national climate fund FONERWA allocates at least 20% of the available funds to the private sector through grants and a specific line of credit; in Uganda, UECCC allocates resources to high quality renewable energies and rural electrification projects, including provision of technical and financial support to project owners. Cooperation could be aimed at joint initiatives (i.e. a PoA managed by a public entity but with private investors developing specific CPAs; submission of joint financing proposals to national/international institutions) that cover both private and public spheres.
- **Importance of private sector contribution:** it is clear that the mitigation ambitions set forth at international level under the PA will require huge financial efforts. If it is estimated that the financial needs to reach the targets as defined in the NDCs reaches almost 4,500 billion USD, it is also clear that public finance can not fill this gap. Hence it is necessary to leverage private investment at scale to meet the mitigation targets agreed under the PA. The workshop introduced different examples of private sector financed mitigation activities in East Africa, from energy projects using biomass, to cook stove PoAs targeting households' and institutional stoves, or environmental and social investment that are strengthening the ties between the company and the local communities. However it is necessary to ensure that an appropriate institutional framework and sufficient investment certainty for leveraging private investments are in place. Also awareness raising would support the inclusion of climate change in private companies' business decisions.
- **Development of bankable projects:** this issue is strictly related with the capacity building needs. In many cases it happens that finance is available but there are not sufficient high



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quality project proposals. This creates a bottleneck that affects the efficient allocation of the available resources and it has been raised by several participants. Lack of high quality projects is a serious barrier both at national level, when private and public funds try to identify projects that can be financed, and also at international level, where finance institutions struggle to develop a pipeline of bankable projects and result in difficulties in allocating the available budget. Potential solutions would be the development of project design and management skills; providing assistance to private enterprises that could harness mitigation benefits, but have limited knowledge, expertise and resource availability. This aspect is also related to the possibility of accessing climate finance: the process of preparing and submitting a proposal, be it to the GCF or to the NAMA Facility, requires a relatively long amount of time and also specific skills that might not be readily available within one company of a ministry department. It is hence necessary to locally develop or access this expertise and allocate the required amount of resources in order to develop a high quality proposal that has good chances to stand scrutiny against the selection criteria defined by each institution.



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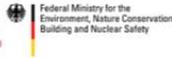
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All presentations are available at: <https://www.dropbox.com/sh/dexegbm9movmj23/AAAwBe3sVg4yYEBiqIMPbH4Ua?dl=0>

Annex I: List of Participants

No	Name	Organisation	Email
1	Bill Farmer	Uganda Carbon Bureau	billfarmer@ugandacarbon.org
2	Goefrey Ssebugwawo	Private Sector Foundation of Uganda	gssebugwawo@psfuganda.org.ug / gssebugwawo@gmail.com
3	Ssali Godfrey	Uganda Manufacturers Association	ssalikg@gmail.com
4	Peter Benhur Nyeko	Mandulis Energy	peter.nyeko@mandulisenergy.com
5	Desmond Tutu	Uganda Energy Credit Company	
6	Bobby Namiti	Climate Technology Initiative Private Financing Advisory Network (CTI PFAN)	bobby.namiti@ppl-int.com
7	Kenneth Barungi	Kakira Sugar Works	kbarungi@kakirasugar.com
8	Andrew Masaba	MoFPE	Andrew.Masaba@finance.go.ug
9	Martha Bbosa	UNDP Uganda	martha.bbosa@undp.org
10	Andrew Ocama	Evidence Action Uganda	andrew.ocama@evidenceaction.org
11	Hellen Tewolde	Simoshi	helen_tewolde@yahoo.com
12	Susan Naddamba		
13	Georg Zenk		georgzenk@hotmail.com
14	Tom Owino	Climate Care	tom.owino@climatecare.org
15	David Njugi	Kenya Association of Manufacturers	david.njugi@kam.co.ke
16	Margret Kamau	CDKN	margaret.kamau@cdkn.org
1	Tom Owino	Climate Care	tom.owino@climatecare.org
7	David Njugi	Kenya Association of Manufacturers	david.njugi@kam.co.ke
18	Margret Kamau	CDKN	margaret.kamau@cdkn.org
19	Tom Owino	Climate Care	tom.owino@climatecare.org
20	David Njugi	Kenya Association of Manufacturers	david.njugi@kam.co.ke
21	Margret Kamau	CDKN	margaret.kamau@cdkn.org
22	Tom Owino	Climate Care	tom.owino@climatecare.org
23	David Njugi	Kenya Association of Manufacturers	david.njugi@kam.co.ke
24	Jean Bosco Rwiyamirira	REMA	jbmirira@gmail.com
25	Ntare Bright	FONERWA	b.ntare@fonerwa.org
26	Allan Mubiru	Atmosphair	mubiru@atmosfair.de
27	Jean Bosco Rwiyamirira	REMA	jbmirira@gmail.com
28	Ntare Bright	FONERWA	b.ntare@fonerwa.org
29	Allan Mubiru	Atmosphair	mubiru@atmosfair.de
30	Namande Gloria	GIZ	gloria.namande@giz.de
31	Serafimov Till	GIZ	till.serafimov@giz.de
32	Namazzi Gloria	GIZ	gloria.namazzi@giz.de
33	Ssemulema Kasiita John	GIZ	john.ssemulema@giz.de
34	Varun Gayatri	GIZ	gvarun-giz@preep.co.ug
35	Roensk philippe	GIZ	philippe.roensk@giz.de



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36	Namande Gloria	GIZ	gloria.namande@giz.de
37	Serafimov Till	GIZ	till.serafimov@giz.de
38	Rukundo Ritah	UNFCCC	RRukundo@unfccc.int
39	Badve Vikrant	UNFCCC	VBadve@unfccc.int
40	Kiwanuka Yiga Sadam	UNFCCC	SYiga@unfccc.int
41	James Banabe	MEMD	baanabe@energy.go.ug baanabej@gmail.com
42	John Tumuhimbise	MEMD	tumuhimbise@energy.go.ug
43	Bob Natif	MWE	bobnatifu@gmail.com
44	Daphne Ayieko	UECCC	dayiekoh@ueccc.or.ug
45	Ssebugga Kimeze Arthur	UIA	
46	Andrew Gilder	ENSA	agilder@ensafrica.com
47	Mansoor Parker	ENSA	mparker@ensafrica.com
48	Tim Reutemann	UNEP DTU	timreu@dtu.dk
49	Jeff Murange	AFD	jeff.murage@kam.co.ke
50	David Sacotte	AFD	david.sacotte@kam.co.ke
51	Stephan Hoch	Perspectives	hoch@perspectives.cc
52	Dario Brescia	Perspectives	brescia@perspectives.cc
53	Ojiambo Morris	RCC UNFCCC	
54	Prossy Arinaitwe	MEMD	Natashaprossy@yahoo.com
55	Joyce Njogu	Kenya Association of Manufacturers	Joye.njogu@kam.co.ke