A Silent Tsunami Revisited
Extending Global Access to Clean Water and Sanitation

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Dedicated to those
whose lives have been improved
by extension of water and sanitation services,
and to those who must still be reached.
Foreword

A world where everyone has access to safe drinking water and sanitation services is possible, and availability of these services would empower millions of people who currently lack them—especially women and children.

A multi-stakeholder dialogue focused on water, sanitation, and hygiene (WASH) was held in May 2011 in Washington, DC, convened by the Nicholas Institute for Environmental Policy Solutions at Duke University and The Aspen Institute Energy and Environment Program. The forum provided a platform for participants to reflect on progress to date, and to explore critical policy needs to enable U.S. entities to fully maximize impact of their WASH activities over the next five to ten years. Discussions drew from the experiences and expertise of a distinguished group of key stakeholders within the sector (see list on page 17).

This forum was a follow-up to a 2005 dialogue co-hosted by the same two institutes. Following this initial dialogue, we published the report *A Silent Tsunami*, which highlighted the global importance of issues relating to access to clean water and sanitation and outlined major steps to inform how the U.S. government and other actors might provide these basic services more rapidly and effectively.
Although much has been achieved since the original forum, enormous challenges persist. The mid-point between the initial forum and 2015—the target year for the Millennium Development Goal to halve the proportion of people without access to safe water and sanitation—was an opportune time to convene key stakeholders to reflect on progress and to identify the most important areas to focus on in the immediate future. The forum benefited from having a number of the original forum participants, who, along with many new participants, provided a wide range of expertise from a variety of organizations working on WASH challenges. The intent of the forum was to produce recommendations and to develop a collective message to share with relevant decision makers, including Congress.

The forum commenced with an inspiring keynote address by Congressman Earl Blumenauer, applauding past and present efforts, highlighting the importance of WASH work for Americans, and urging strategic outreach that invites all Americans to recognize this importance and to engage with the WASH sector. Three session topics framed the dialogue, drawn from key findings of a recent Nicholas Institute working paper *A Review of U.S. Efforts in Water and Sanitation*, which was largely informed by interviews with key stakeholders in the sector, both in the developing world and in the United States. The session topics were

- Investment and Impact of Funding;
- Policy Opportunities and Challenges for the WASH Sector; and
- Sustainability and Increased Engagement of Local Actors.

Ambassador Harriet C. Babbitt, Co-Chair of the Global Water Challenge and former Deputy Administrator of the U.S. Agency for International Development, and Malcolm S. Morris, Chairman of the Millennium Water Alliance, served as co-chairs. Their active involvement has been instrumental in highlighting and promoting the WASH agenda. This report includes the co-chairs’ overview, which captures the essence of the dialogue. The recommenda-
tions were not delineated at the meeting, but rather derived from themes and discussions that garnered broad support. An individual’s participation should not be interpreted as his or her organization’s endorsement of any specific recommendation or finding.

The Nicholas Institute for Environmental Policy Solutions at Duke University is a nonpartisan institute founded in 2005 to help decision makers in government, the private sector, and the nonprofit community address critical environmental challenges. The Institute responds to the demand for high-quality and timely data and acts as an “honest broker” in policy debates by convening and fostering open, ongoing dialogue between stakeholders on all sides of the issues and providing policy-relevant analysis based on academic research. Since its inception, the Institute has earned a distinguished reputation for its innovative approach to developing multilateral, nonpartisan, and economically viable solutions to pressing environmental challenges.

Duke University established the Nicholas Institute as a stand-alone institute whose administrative autonomy and access to the full range of Duke’s academic resources position it for a unique level of engagement with issues and audiences outside the traditional scope of most universities. The Institute is led by a small team of economists, scientists, and policy experts who leverage the broad expertise of their faculty colleagues—in arts and sciences, business, engineering, environment, divinity, law, and public policy—to help Duke deliver on its commitment “to put knowledge at the service of society” in the domain of energy, environment, and sustainability.

One of the enduring topics at the Aspen Institute is enjoyment of the environment and our responsibility for the well-being of the natural world. The Aspen Institute has been a prominent gathering place to engage in deep and lively discussion about the ideas and issues that shape our lives. Through seminars, roundtables, forums and leadership initiatives, the Institute and its international partners seek to promote the pursuit of common ground and nonpartisan inquiry.
The Aspen Institute Energy and Environment Program, widely regarded for the quality and timeliness of its convening, provides the leadership and a neutral forum for improving policy making through intentional values-based dialogue in the areas of energy and environmental policy. For over 35 years, the Aspen Institute Energy and Environment Program has directly sought to improve the quality of leadership and the formation of policy through dialogue on the environmental challenges facing societies and organizations. Through a form of intentional dialogue that fosters candid exchange among people of diverse viewpoints, the Program seeks solutions to, or seeks to better frame the questions regarding, important energy and environmental policy issues.

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1. **COMPLETE THE U.S. STRATEGY:** The U.S. government strategy for water and sanitation should be completed and made public as soon as possible.

2. **FOCUS MORE ON COUNTRIES WITH GREATEST NEED:** Funding under the Senator Paul Simon Water for the Poor Act should be focused on countries with the greatest need; funding to countries of political importance should be handled from other accounts.

3. **MAKE WASH CENTRAL IN DEVELOPMENT AID:** Policymakers and implementers must integrate WASH with other development initiatives, while explicitly recognizing it as a critical building block in development.

4. **ALIGN WASH EFFORTS INTERNATIONALLY:** Official development assistance (ODA) WASH initiatives should be better aligned with those of international agencies and domestic governments in order to capitalize on existing efforts, strengthen local capacity, and leverage funding.

5. **BOLSTER LOCAL CAPACITY:** Develop local capacity to facilitate a comprehensive approach, from policy to operations and maintenance, to ensure the sustainability of services.
6. ENCOURAGE ENTREPRENEURSHIP: Innovative business models that will attract new investment from the private sector, particularly local entrepreneurs, are needed.

7. DOCUMENT THE BENEFITS: A credible body of evidence that documents the value of WASH, particularly country-specific analyses, should be developed and widely shared.

8. FOSTER PARTNERSHIPS: Promising partnerships among diverse stakeholders must be ignited, supported, strengthened, and evaluated to determine impact.

9. MAKE THE CASE FOR WASH COMPELLING: Public awareness must be increased through strategic communication of the compelling messages about needs and solutions.
The big picture is daunting: nearly one billion people without convenient access to safe drinking water and more than two and half billion people without adequate sanitation, fomenting unnecessary illness and death, impairing work productivity, and stifling economic growth and development. Exacerbating this challenge are impacts of climate change, population growth, and increasing demand for water among competing interests. This challenge is solvable, however, and universal access to water and sanitation is possible. Progress demands a large and systematic outreach and substantial policy change.

Over the last five years, there has been significant progress towards increasing access to safe water and sanitation around the world. The United States has been increasingly active in the sector through engagement by the government, foundations, nongovernmental organizations (NGOs), faith-based organizations, academia, and the private sector. These advancements have been largely facilitated by the passage of the Senator Paul Simon Water for the Poor Act (WPA), signed into law in December 2005 by then-President George W. Bush. Momentum has carried into the
administration of President Barack Obama, evidenced by a pledge in his 2009 Inaugural Address to “let clean waters flow,” and by Secretary of State Hilary Clinton’s speech on World Water Day in 2010, which indicated that the State Department was making “water a high priority in our national and international dialogue.” The Secretary tasked Under Secretary Maria Otero and U.S. Agency for International Development (USAID) Administrator Rajiv Shah to lead work on the issue. Increased engagement in WASH activities by the Department of State and USAID is evident. To enhance existing efforts, an updated Senator Paul Simon Water for the World Act was introduced in the Senate.

Rising interest has been accompanied by increased funding and heightened awareness that WASH is critical to development. Innovation is under way in the water sector, including market-based approaches to delivering basic services. Community-based approaches are improving due to enhanced efforts by local and international NGOs. Academic institution interest is growing, as well, with potential to significantly strengthen assistance in education, training, and capacity building.

As a result of increased activity within the sector, more people have access to water and sanitation today. Reporting indicates that many countries are on target to meet the Millennium Development Goal (MDG) for access to clean water. This means more people are living healthier lives with dignity, although much work remains. In particular, overall progress in sanitation is lagging, and sub-Saharan Africa is the only region of the world off-track for both the water and sanitation targets.

Compounding existing challenges is the uncertainty over the level of support for overseas development assistance in these troubled economic times. Meanwhile, the political will of domestic governments to take on the responsibility for water and sanitation lags in many countries.
Overcoming these challenges requires continuing momentum and renewed efforts. Losing momentum will not only slow further efforts, but it will detract from the progress the United States has achieved to date.

The Broader Context

Genuine efforts to expand access to water and sanitation have garnered support across the political spectrum and from diverse interest groups, resulting in benefits both abroad and at home. The WASH sector has fostered a true bipartisan effort to unite and work towards a singular mission. Water and sanitation are pillars of development: advances in health, education, agriculture, and the environment all require improved water and sanitation services. In her World Water Day speech, Secretary Clinton gave what one forum participant called “the best statement that any senior minister has made in the U.S. government on water.” She said:

For the United States water represents one of the great diplomatic and development opportunities of our time. It is not every day that you find an issue where effective diplomacy and development will allow you to save millions of lives, feed the hungry, empower women, advance our national security interests, protect the environment and demonstrate to billions of people that the United States cares, cares about you and your welfare (World Water Day Speech, 22 March 2010).

Development of water and sanitation services significantly improves lives, particularly those of women and children, who are often tasked with collecting water. This activity, day after day, has high opportunity costs and may compromise their safety. Time spent waiting in queues or walking to fetch water means less time for other productive activities for women and absence from school for girls.
Sustainable results require a comprehensive understanding of the geographic, political, cultural, institutional, and socioeconomic context specific to the area. Not all water and sanitation projects are the same; there are no formulas that guarantee success. Meeting the challenge is more complex than simply building latrines or a community well. Sufficient local and institutional capacity must be in place to effectively address the need, including the pervasive operation and maintenance problem. The approach necessarily varies in rural and urban environments, where there are different barriers to access. Currently, there are more people who live in rural areas than in urban areas, and rural populations are less likely to have access to adequate water and sanitation services than people in urban areas. Given that rural populations are highly dispersed, the effectiveness of market-based approaches is minimized. Community-based approaches that work closely with the local people to determine which technologies are most suitable and develop local expertise to maintain the services are preferable. In urban and peri-urban environments, where projected populations are expected to multiply, there are a growing number of examples of successful market-based approaches for water. A viable business model for sanitation, however, remains elusive. A significant problem in urban and peri-urban conditions is the removal and treatment of waste.

**Recommendations**

1. **COMPLETE THE U.S. STRATEGY:** The U.S. government strategy for water and sanitation should be completed and made public as soon as possible.

Since 2005, there has been continuing progress within the U.S. government in policy development, research, and the mobilization of resources for the WASH agenda. This is evident by increased funding, new staff hires and improved training, projects undertaken, and official public statements. Participants were encouraged
by this progress, but felt activities could be more efficient and effective. To maximize potential, there was a call for the completion of a strategy for water and sanitation, as mandated by the Senator Paul Simon Water for the Poor Act in 2005. The Act also requires that such a strategy be designed in consultation with appropriate entities, including recipient governments and civil society. Several participants called for the strategy to be made public once completed. The effectiveness of the sector will benefit from open lines of communication between stakeholders in and outside the government to promote transparency and accountability.

A strategy is currently under development by USAID. The development of a cohesive strategy, however, has proven difficult, largely because of the decentralized functioning of WASH programming in the government: available funding is spread across four accounts (Disaster Relief, Global Health Bureau, Development Assistance Accounts, and Economic Support Funds) and USAID missions drive the focus in their respective countries.

2. FOCUS MORE ON COUNTRIES WITH GREATEST NEED:
Funding under the Senator Paul Simon Water for the Poor Act should be focused on countries with the greatest need; funding to countries of political importance should be handled from other accounts.

There was a consensus that WASH efforts should focus on areas of greatest need and where there is capacity to address these needs, i.e., where funding can be expected to have the greatest impact on those lacking basic services. It was generally accepted that too much WPA funding is directed to U.S. political priority countries, at the expense of those with the greatest need, as mandated in the legislation. Although participants understood that the U.S. government funding structure impedes allocating funds based on need, there was a call for concerted efforts to expand coverage in countries that need services the most.
While there are many people lacking adequate WASH services in many parts of the world, including middle-income countries, the unparalleled need in sub-Saharan Africa makes this the primary region where resources must be focused. The breakdown of funding to U.S. priority countries in 2009, however, showed the top three countries received 41% of all 2009 funding: Jordan ($43.3M), Pakistan ($25.3M), and Afghanistan ($20.5M).

Not only are conditions in the sub-Saharan Africa dire, but the projected doubling of the population with another billion people by 2044 will magnify existing problems. Urban and peri-urban areas are forecasted to be the focus of this growth. While proportionally the greatest need for water and sanitation is currently in rural areas—where a focus must be maintained (rural areas account for approximately 60% of the population)—increased attention is also warranted in urban and peri-urban areas.

3. MAKE WASH CENTRAL IN DEVELOPMENT AID: Policymakers and implementers must integrate WASH with other development initiatives, while explicitly recognizing it as a critical building block in development.

WASH is a pillar of development, integral to advances in health, education, and food security, and indispensable in climate change adaptation plans. Integration with other development initiatives is necessary to ensure the greatest extension of WASH services. However, such integration can lead to a tension between WASH and other objectives if WASH is embedded within other priorities. Currently there are three Presidential development initiatives that guide U.S. foreign aid budgets and programs: the Global Health Initiative, Feed the Future, and the Global Climate Change Initiative.

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1 United Nations, Department of Economic and Social Affairs. 2010 World Population Prospects, the 2010 Revision. Figure 2. http://esa.un.org/unpd/wpp/Analytical-Figures/htm/fig_2.htm.

Though it might be intuitive that improvements in drinking water and sanitation are imperative in all three, it is incumbent on the WASH sector to define this relevance, to develop indicators that can be measured within these initiatives, and to publicize the relationships.

The forum sought to break down rigid sectorial silos in order to encourage collaboration with other development sectors, to ensure that WASH is incorporated whenever and wherever appropriate. A participant mentioned a few examples of where this is happening, including the UNICEF WASH in Schools partnership, the Health/WASH Network chaired by PATH, and Catholic Relief Services water and conflict work.

Some participants cautioned that while integration across sectors works in the grassroots and NGO arenas, it is especially difficult in Congress, which has a fragmented structure of committees that tend to act independently.

4. ALIGN WASH EFFORTS INTERNATIONALLY: Official development assistance (ODA) WASH initiatives should be better aligned with those of international agencies and domestic governments in order to capitalize on existing efforts, strengthen local capacity, and leverage funding.

Forum participants deliberated on the role of international groups within the development arena, and several concluded that they should seek to strengthen local institutions, while ensuring that development assistance does not undermine the efficacy of the domestic government and private enterprise. Fostering sustainability of service provision, a pervading undercurrent throughout the forum, prompted one discussant to frame the issue for ODA as “how to develop capacity of institutions, whether private or public, which can sustain WASH services over the long term and do so at scale.” Ultimately, the end goal for international institutions should be functional institutions capable of providing sustainable services at large scale, rather than ODA providing direct delivery of services. As water and sanitation projects are inherently local and address
conditions specific to an area, local institutions have the capacity to better understand what is needed in a particular location.

The principles outlined in the Paris Declaration and Accra Agenda for Action to increase aid effectiveness were endorsed, in particular those regarding country ownership and alignment. These aim for countries to actively participate in their development processes, including policy development, and for donor countries to fund through local mechanisms.

Lack of political will, lack of capacity and competency to deliver services, lack of accountability, and poor governance are frequent barriers to national implementation of full water and sanitation coverage. The direct involvement of local actors and existing institutions is critical to overcome such barriers. ODA, aligned with national government frameworks, can assist domestic governments in developing a WASH strategy consistent with that framework. A national performance monitoring system would allow the government to track progress against stated goals. Countries lacking a national framework would benefit from assistance in developing such plans to promote a consistent harmonized approach to delivery of WASH services.

Furthermore, alignment leverages funds. It invites multiple funding sources to pool resources in implementation efforts, thereby maximizing potential for impact and reducing duplication of efforts. Meanwhile, working with domestic governments will encourage more local funds for WASH, and development of training programs for capacity enhancement.

5. BOLSTER LOCAL CAPACITY: Develop local capacity to facilitate a comprehensive approach, from policy to operations and maintenance, to ensure the sustainability of services.

The tendency has been for development activities to concentrate on the implementation phase, neglecting important planning and post-construction phases. In part, this is because donors
have allocated finite resources to the “doing” phase—counting the numbers of new taps or latrines as measures of success. Planning, operations, and maintenance can be expensive and expressing outputs as indicative of success ambiguous; implementers have not been held accountable for the sustainability of projects over time. Not-for-profit actors are now trying to fully undertake all cycles of a project, but operation and maintenance remain a challenge. Without planning for this phase, the project is less likely to continue functioning properly over time. The lesson is clear: Training and provision for operation and maintenance of WASH facilities must be incorporated into each program from the beginning.

A case study from Africa was shared as evidence of the consequences of not having the full understanding and support of the domestic government. Donor aid helped to build water and sanitation facilities at schools, and the domestic government was to provide a grant to maintain and operate the facilities. A provision of 5 shillings per student was made, although 35 shillings per capita was needed (the equivalent of about 50 cents per student). In this particular case, donors will continue focusing on national policy to ensure adequate funding of operational costs in order to promote sustainable services.

6. **ENCOURAGE ENTREPRENEURSHIP:** Innovative business models that will attract new investment from the private sector, particularly local entrepreneurs, are needed.

Given that external funding will never be sufficient to provide and sustain water and sanitation services to all people, there was a call to encourage market-based efforts that expand WASH services. Such efforts are already under way, with some demonstrable results in the urban water sector, but less for sanitation.

Some participants were particularly interested in developing and implementing urban solutions, especially in light of projected population growth, the adverse conditions of slum living, and the
The rapid spread of disease in dense areas. Although innovative solutions are needed at many levels, developing business models was thought to be particularly promising in urban and peri-urban areas.

Successful implementation of business models requires that local enterprises have access to skills training, financial mechanisms, and sufficient revenue to be sustainable and scale up. Advancement of these models will benefit from partnerships between the private and development sectors, with the private sector contributing, among other skills, knowledge of market research, risk assessment, and business plan creation.

Several participants cautioned that subsidizing water prices for uses beyond basic need may impede entrepreneurial efforts toward market-based solutions or result in over-use of a finite resource. One participant suggested that subsidies could be provided to users to meet basic needs, and that additional water use should not be subsidized, but rather paid for by the user at a progressive rate.

7. DOCUMENT THE BENEFITS: A credible body of evidence that documents the value of WASH, particularly country-specific analyses, should be developed and widely shared.

Stories that tell the impact of water and sanitation services on individuals and communities are compelling, but there is also a serious need for quantifiable information that compiles how much money was spent, who benefited, and how this contributed to economic development, nationally and locally. Such analysis requires rigorous research to determine the return on investment. This assessment is critical to encourage increased engagement and investment by both national and international actors. In particular, such a case at a country level can help manage investment risks and prompt support from ministries of finance.

To date, there is still no clear understanding of what the sector has spent, where, how, and with what results. Without access
to such basic information, it is a struggle to calculate a return on investment. The sole source of global-level data on improvements in water and sanitation is a joint report by the United Nations (U.N.) and World Health Organization (WHO). Data from *Global Assessment of Sanitation and Drinking-Water* was recently used to facilitate conversations between ministers of finance, ministers responsible for water and sanitation, and implementers of WASH programs from donor countries. Similar data documenting local impacts are collected by implementers working across the globe. This data needs to be collected and synthesized in an open and readily accessible clearinghouse. To gain the most from reported data—that is, to measure the value of WASH, improve independent evaluation of projects, and assess progress—there was a call for development of universal indicators.

8. **FOSTER PARTNERSHIPS:** Promising partnerships among diverse stakeholders must be ignited, supported, strengthened, and evaluated to determine impact.

This recommendation echoes the 2005 report *A Silent Tsunami*, which urged: “Promising partnerships among governments, not-for-profits, community and faith-based organizations, and businesses should be replicated and scaled up.” Forum participants recognized the efforts made over the past five years, citing the Millennium Water Alliance (MWA), the USAID-The Coca-Cola Company partnership, and others. The need to strengthen existing partnerships and to develop new connections across a range of groups was stressed, with an emphasis on improving the effectiveness and impact of investments.

A particular strength of the WASH sector is that it is a bipartisan issue capable of uniting diverse interest groups. The faith-based community is particularly active and has proved an indispensable advocate for the WASH agenda. There has been increasing private sector engagement in the United States as well. Several participants discussed the need to develop a business case for
WASH in order to attract more investment and shift the focus from corporate philanthropic funding to strategic funding as part of a company’s core business operations. Several benefits of a greater private sector role were articulated: leveraging funding and shared project costs, access to data from places where the company has operations, learning from private sector business models, and the convening power of large corporations.

The U.S. government is a large and influential partner, with opportunities to improve working relations both internally and externally. It was noted that although internal department-level relationships are gaining traction and there is an effort under way for a “whole government approach,” the decentralized nature of WASH programming hinders progress. Several participants were optimistic that the long-awaited appointment of a Global Water Coordinator at USAID, along with the formation of a steering group between Department of State and USAID, will help facilitate meaningful collaboration. As WASH services affect many sectors, there is greater potential to integrate WASH activities with numerous other development agendas and projects, especially those pertaining to economic opportunity, education, and health.

While partnerships among international organizations are critical for increased funding and implementation capacity, participants emphasized the critical role of local partners to ensure sustainability, and discussed how to attract new investments from national governments, the local private sector, and civil society.

9. **MAKE THE CASE FOR WASH COMPELLING:** Public awareness must be increased through strategic communication of the compelling messages about needs and solutions.

Securing an adequate share of finite dollars for WASH requires generating and maintaining interest for the sector because WASH competes with a broad array of other needs. The forum expressed enthusiasm for engaging the general public. Given that the plight of those with inadequate access to WASH elicits empathy, many
participants felt that it should be relatively straightforward to connect the public to WASH issues.

Several participants mentioned results from two recent polls: one poll reported that the American public considers water and sanitation to be the most important of all the development sectors; the other showed that Americans think the United States spends as much as 25% of its budget on foreign aid, whereas they would prefer to allot 10%. In reality foreign aid constitutes less than 1% of the U.S. budget. These two polls reveal a rich opportunity that would benefit from a clear and coherent communications strategy (as opposed to what one participant described as the “ad hoc messages of the past five years”).

Successful development sectors have traditionally been supported because they can explain why the program is important to American taxpayers and how they deliver results cost-effectively. Communications around WASH need to include the cost-effectiveness of the cause, the moral contribution, and the opportunity to foster security and stability in countries by improving people’s lives.

It is important to consider how to best convey the importance of WASH to different government agencies. Some federal officials respond to the return on investment message while others are compelled by the diplomatic opportunities and extension of a positive American image overseas. Given the vast array of interests and issues that Congress has to consider, WASH supporters must articulate a clear and consistent message, with a well-defined goal and associated cost, that can be pitched succinctly and that encapsulates why WASH matters to the American people.

**Conclusion**

In an age of unprecedented advances, the fact that there are hundreds of millions of people without access to safe-drinking water and sanitation is sobering—especially given the fact that providing sustained services to all people is possible. Solutions
might seem obvious, but the struggles and failures of the past decades suggest otherwise. WASH efforts have made advancements, and the U.S. WASH sector has gained momentum in the past five years, and with continued focus and collaborative efforts, we can do our part to ensure safe, reliable access to clean water and sanitation for all those now living without these basic human services.
Participant List

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For Further Information

• CARE: http://www.care.org/careswork/whatwedo/health/water.asp

• Catholic Relief Services: http://www.crsprogramquality.org/water-and-sanitation/

• Center for Strategic & International Studies: http://csis.org/program/project-global-water-policy

• Department of State: http://www.state.gov/g/oes/water/

• Global Water Challenge: http://www.globalwaterchallenge.org/home/

• Living Water International: http://www.water.cc/


• Millennium Water Alliance: http://www.mwawater.org/

• Nicholas Institute: http://nicholasinstitute.duke.edu/water/health

• USAID: http://www.usaid.gov/our_work/cross-cutting_programs/water/water_sanitation.html

• WASH Advocacy Initiative: http://washinitiative.org/
• Water for People: http://www.waterforpeople.org/
• Water.org: http://water.org/
• WaterAid: http://www.wateraidamerica.org/get_involved/default.aspx
• World Bank: http://water.worldbank.org/water/water-supply-and-sanitation