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| **ADDITIONAL RESOURCE SUMMARY: PROBLEM TREE** | |
| Purpose | The purpose of a Problem Analysis is to study of one or more problems (identified during the Needs Assessment stage) by identifying the problem’s underlying causes and the effects (negative) that it creates.   * LWR recommends using the Problem Tree method to facilitate this analysis. |
| Information Sources | **Information the project design team should have before starting the Problem Analysis:**   * Needs Assessment data * Project team experience   **Guidance for Problem Analysis:**   * IFRC Project Planning Guidance Manual: 4.1.4: Problem analysis using the “problem tree” tool (p. 21-22) * IFRC Project Planning Guidance Manual: Annex 1: How to create a problem tree (p. 51-53) * CRS Problem Tree guidance (p. 76-82) * Problem Tree template |
| Who | The Problem Analysis should be coordinated/facilitated by the same person who leads the entire process. The factors to consider when determining the lead for this process are   * Familiarity with target population * Familiarity with the results from the Needs Assessment * Experience in using the Problem Tree method.   Doing the Problem Analysis with participation of representatives of the target population is ideal. The target population is most familiar with the problems and the context.  \*For further guidance on the grants acquisition process please refer to the LWR Grants Acquisition Manual p. 41. |
| When | The Problem Analysis comes after the Needs Assessment data has been collected and before moving to the Results Framework. |
| Requirements | **REQUIREMENTS:**   * The Problem Analysis is required for all UNRESTRICTED projects, and the Problem Tree is the recommended method for this analysis. * Each problem, cause, and effect should have some sort of evidence that verifies it is true. The evidence and source should be noted while doing the problem analysis and documented in the Problems to Objectives tool once the analysis is completed. * **For some RESTRICTED proposals the donor may specify the problem statement or the causes, or both. Use any templates provided by the donor for this analysis.** * In cases where the problem statement is provided, then the Problem Analysis should focus on determining only the causes of that problem. The analysis of the causes should still be based on what is known about the target area/population as a result of the Needs Assessment.   + If both the problem statement and the causes are specified by the donor, the Problem Analysis is NOT required. The design team can move directly to the Results Framework.   **RECOMMENDATIONS:**   * The process is as important as the product. The exercise should be treated as a learning experience and an opportunity for different views and interests to be expressed. * If necessary, the unclear aspects of a problem can be further elaborated through additional focus groups and/or interviews with the target population. * The most common method for doing a participatory Problem Tree analysis is with sticky notes or note cards where one problem, cause or effect is placed on each card. This allows the participants to move the cards around and discuss where they best fit within the Problem Analysis. |
| Tips | While the project will not be able to address every problem identified in the Needs Assessment, this analysis should incorporate all problems identified to create the full context in which the project will exist.   * Sometimes the project team will simply know that a problem or cause exists from many years of interaction with the target population or zone.   + Nevertheless, it is a good exercise to reaffirm what is known by conducting a new needs assessment or undertaking a short investigation of relevant studies or government data for the area when proposing a new project. * Completing the problem analysis can be complex, therefore experience in facilitating the use of the Problem Tree method and familiarity with the local context is of utmost importance when selecting a lead coordinator/facilitator. * Does each cause-effect link (illustrated by arrows) make sense? Is each link plausible? Why or why not? * How well have the causes gone down to the roots? Are there any unidentified root causes? * What appears to be the relative contribution of each causal stream (causes linked by arrows leading to the core problem statement) to the problem? Do some causes appear more than once? Why is this? Which causes show significant influence? * Depending on the depth of analysis, the lowest cause identified in the Problem Analysis can relate directly to chosen activities.   Any method or program can be used to document the results of the Problem Analysis in the Project Design Workbook. What is important is that the results are documented.   * The example provided is a typical graphical presentation of a Problem Tree. The use of this word template is not required. The graphic can be manipulated (size and number of boxes) to reflect the results of the Problem Tree analysis.   + If the Word template is used, it must be transferred to the Project Design Workbook once completed. To do so, the easiest way is to use the “Snipping Tool” which is a Microsoft tool found in the Start Menu: All Programs – Accessories – Snipping Tool. Select and copy the whole graphic and paste it into the Project Design Workbook in the Problem Analysis Documentation tab. The Snipping tool can be used to copy and paste from any electronic medium, including websites, Microsoft Office applications, etc.   + An alternative option is to take a photo of the results and paste it into the Project Design Workbook. * Some online applications can make collaborating in the development of the Problem Tree much easier. Two options include Padlet ([www.padlet.com](http://www.padlet.com)) or C-MAPS (<http://cmap.ihmc.us/download/>). For more information contact your regional M&E manager. |
| Gender Considerations | A project that meets the LGI standards for gender integration at this stage will undertake all of the following:   * Identifies key gender-based constraints in the targeted area or related to the sector including:   + Conditions of disparity   + Factors causing the identified inequalities * Includes gender-based constraints in gender-specific problem tree and/or general Problem Analysis tab in the Project Design Workbook. * Prioritizes and link GBCs to other problems identified.   + There may be GBCs that are NOT directly linked to other problems but which may still be important to address. These can become individual objectives. |

**Effect 2:**

**Effect 3:**

**Problem Statement:**

**Cause 1.b:**

**Effect 1:**

**Effect 4:**

**Cause 1:**

**Cause 3:**

**Cause 2.a:**

**Cause 2:**

**Cause 1.a:**

**Cause 3.a:**

**Cause 3.c:**

**Cause 3.b:**

**LWR PROBLEM TREE SAMPLE MODEL**