## Annex 3: Problem Tree (From CARE's Advocacy Tools and Guidelines Manual)
(Note that this example was created to guide advocacy within a development context, and so may be less applicable during an emergency situation)

4.4   Summarize policy findings

Problem tree analysis is a useful technique for synthesizing and visualizing the results of analyses, including policy analyses. You can use a problem tree to represent and help you to analyze links between key actors and their institutions.

To summarize the findings in a problem tree analysis including policy causes, you can follow these steps:
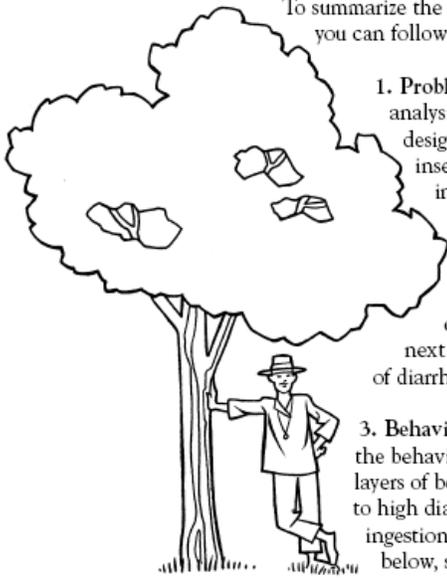
1. **Problem identification:** Depending on the purpose of the analysis (i.e., a long-range strategic plan, program, or project design) the problem can be more general (poverty or livelihood insecurity or a violation of human rights) or specific (low income, poor educational attainment, high mortality rates, etc.). Problem statements should specify who is affected by the problem.
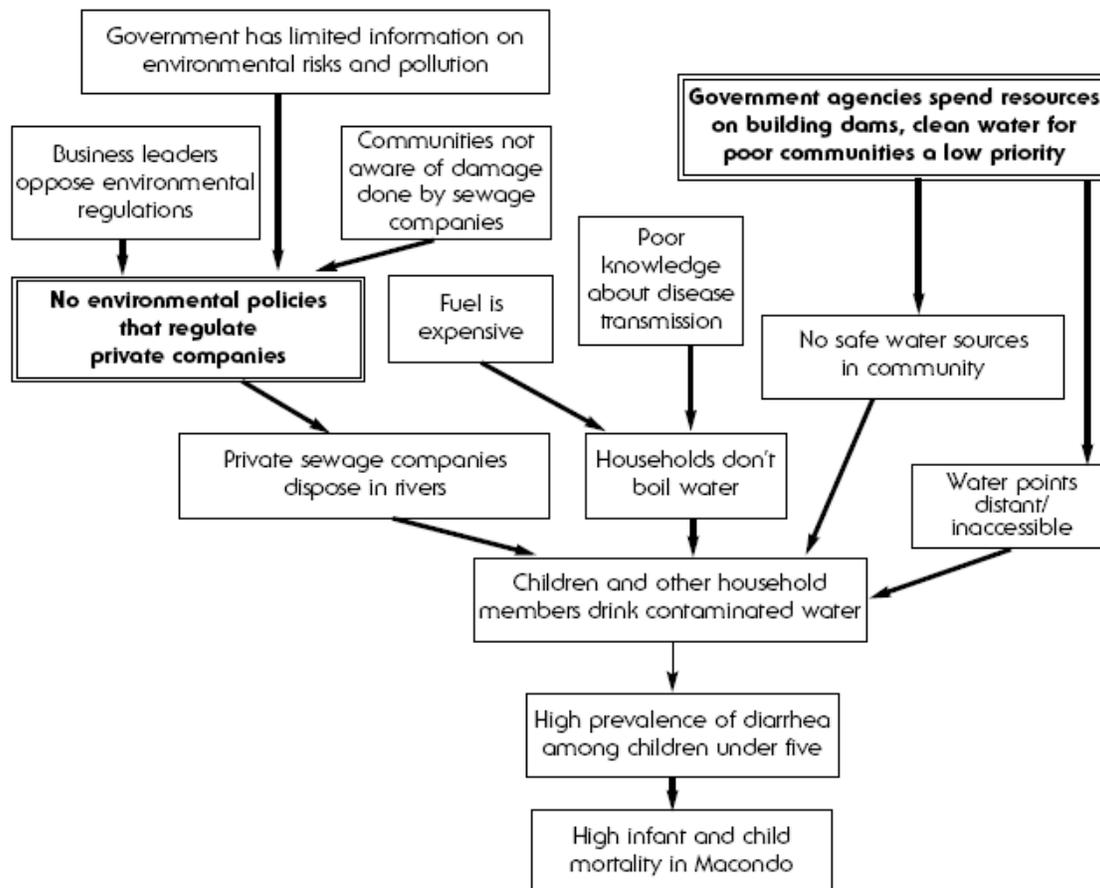
2. **Direct causes:** The analysis identifies the most direct causes of the problem. As shown in the example on the next page, a direct cause of infant mortality is high prevalence of diarrhea.

3. **Behavioral causes:** For each direct cause, problem trees identify the behaviors that lead to these causes. Often there are several layers of behavioral causes. For example, a practice that contributes to high diarrhea prevalence among children younger than five is the ingestion of contaminated water. In the problem analysis shown below, several actors affect the quality of water through their practices: households do not boil water, sewage companies discharge in rivers, government water and sanitation ministry spends resources on building dams, etc. *The actions of policy makers should be reflected in problem trees if they are part of the problem.*

4. **Causes that lead to behaviors:** Why do households, policy makers and private business owners behave in a certain way? Knowledge, attitudes, beliefs, preferences, interests, and other causes explain the identified behaviors. For CARE, it is of key importance to understand the factors that affect behaviors since our programs address the causes that lead to these practices.

MACONDO EXAMPLE: PROBLEM TREE ANALYSIS

Government has limited information on environmental risks and pollution

Business leaders oppose environmental regulations

Communities not aware of damage done by sewage companies

Government agencies spend resources on building dams, clean water for poor communities a low priority

Poor knowledge about disease transmission

No environmental policies that regulate private companies

Fuel is expensive

No safe water sources in community

Private sewage companies dispose in rivers

Households don't boil water

Water points distant/inaccessible

Children and other household members drink contaminated water

High prevalence of diarrhea among children under five

High infant and child mortality in Macondo

The problem tree analysis above includes these *policy causes* of high infant and child mortality:

1) No environmental policies regulate the operations of the private sector.
2) Policy makers allocate resources for the construction of dams instead of water systems for poor communities.

It is important to understand why policies are lacking in order to devise advocacy strategies. If the main problem is opposition to environmental regulations by business leaders, this would lead to one kind of strategy; low community awareness of the damage done by the companies would lead to another. These causes, or policy issues, are influenced by specific policy makers. Note that this information can be extracted from the type of policy map presented in section 4.2.