

# Theory of Change/Problem Tree

Keith Bettinger, East-West Center  
Consultant, UNDP, UN Environment, USAID

[keithb@hawaii.edu](mailto:keithb@hawaii.edu)

# Logframe Example: Legazpi City, Philippines

**PROJECT DEV. OBJECTIVE :** BUILD RESILIENCE TO CLIMATE CHANGE AND ENHANCE AGRICULTURAL PRODUCTIVITY TO IMPROVE THE LIVELIHOOD OF SMALL-SCALE FARMERS IN LEGAZPI CITY

IMPACTS

- ENHANCED FOOD SECURITY
- IMPROVED INCOME OF SMALL-SCALE FARMERS

OUTCOMES

- INCREASED YIELD & QUALITY and SUSTAINABILITY OF AGRI PRODUCTS
- COMPETITIVE FARM GATE PRICES
- INCREASED INCOME OF WOMEN & MEN FARMERS

OUTPUTS

- RIGHT FERTILIZERS & NUTRIENTS APPLIED
- FARMING TECHNOLOGIES ACQUIRED BY W/M FARMERS
- INFORMATION ACCESS PROVIDED TO W/M FARMERS
- FARMERS ADOPT CLIMATE-ADAPTIVE & PEST RESISTANT CROP VARIETIES

ACTIVITIES

- DISTRIBUTE NPK FERTILIZERS w/ESSENTIAL NUTRIENTS TO BENEFICIARIES
- CONDUCT SEMINAR ON FARMING Technologies
- ESTABLISH AGRICULTURAL DATABASE & INFORMATION SYSTEM
- DISTRIBUTE CLIMATE-ADAPTIVE & PEST-RESISTANT PLANTS/SEEDS

ASSUMPTIONS

- SUSTAINED DEMAND FOR FARM PRODUCTS
- STABLE PRICES FOR F&Ns
- FUNDING SUPPORT ASSURED

INPUTS

- LOGISTICS
- HUMAN POWER, EQUIPMENT
- TECHNOLOGY
- FUNDING/FINANCES
- INSTITUTIONAL ARRANGEMENTS

RISKS

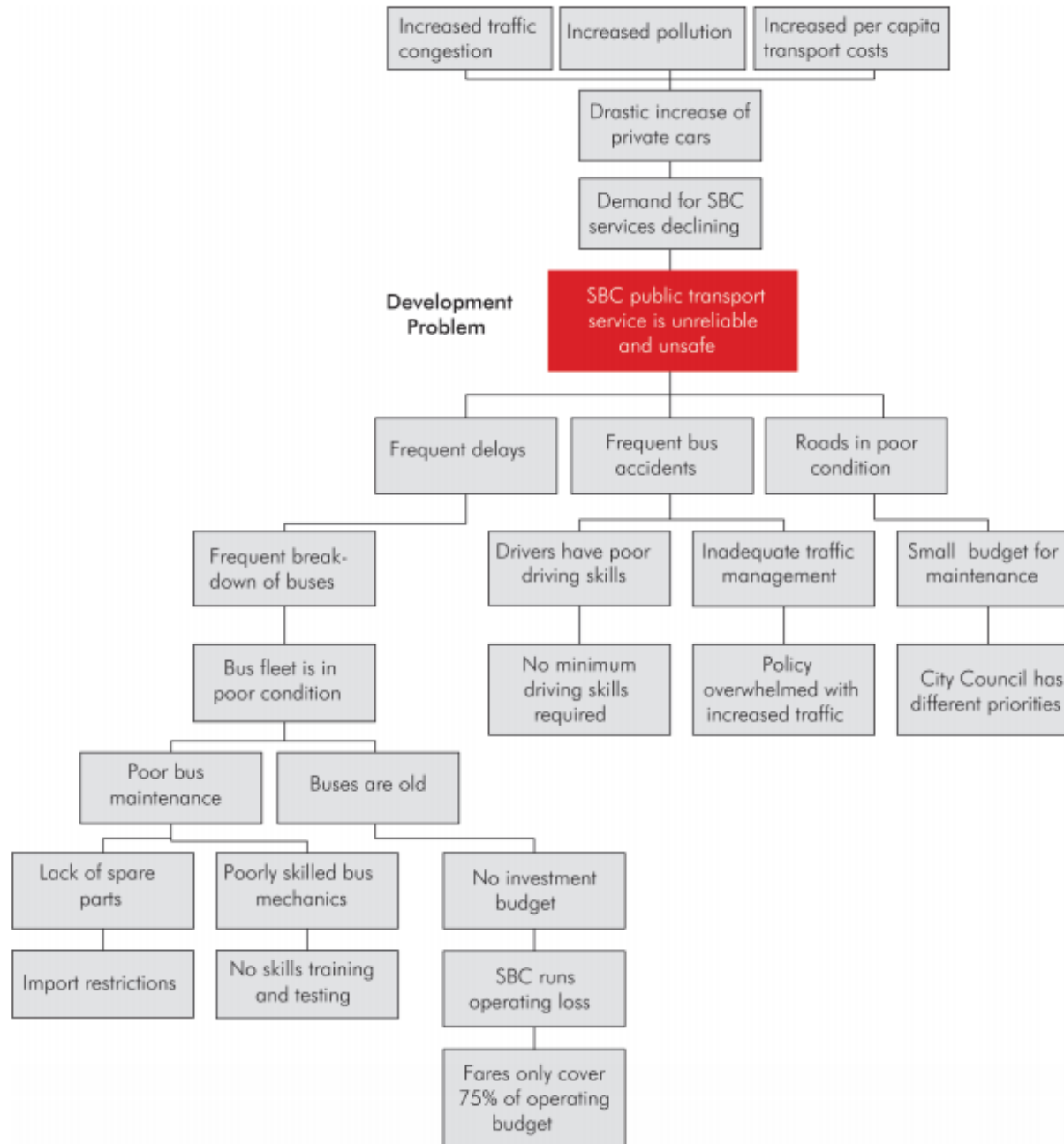
- INCIDENCE OF A SERIES OF HIGH IMPACT DISASTERS
- PRICE SPECULATIONS CREATING ARTIFICIAL SHORTAGE
- ACCEPTANCE OF W/M FARMERS OF FARMING TECHNOLOGY & NEED for LARGER STAKEHOLDER PARTICIPATION
- AVAILABILITY OF PLANTS/ SEEDS LOCALLY

WELL-INFORMED Educated FARMERS

PRIORITY one of the PRIORITIES

# Making your case...

- **ALL PROJECTS MUST BE BUILT ON A SOLID UNDERSTANDING OF THE “DEVELOPMENT PROBLEM”**
- **This explains “why” you think your project will work!!!**
- **“Theory of Change” is a narrative/graphical statement of the “problem” and the “intervention”**
- **Feeds directly into logical framework...**

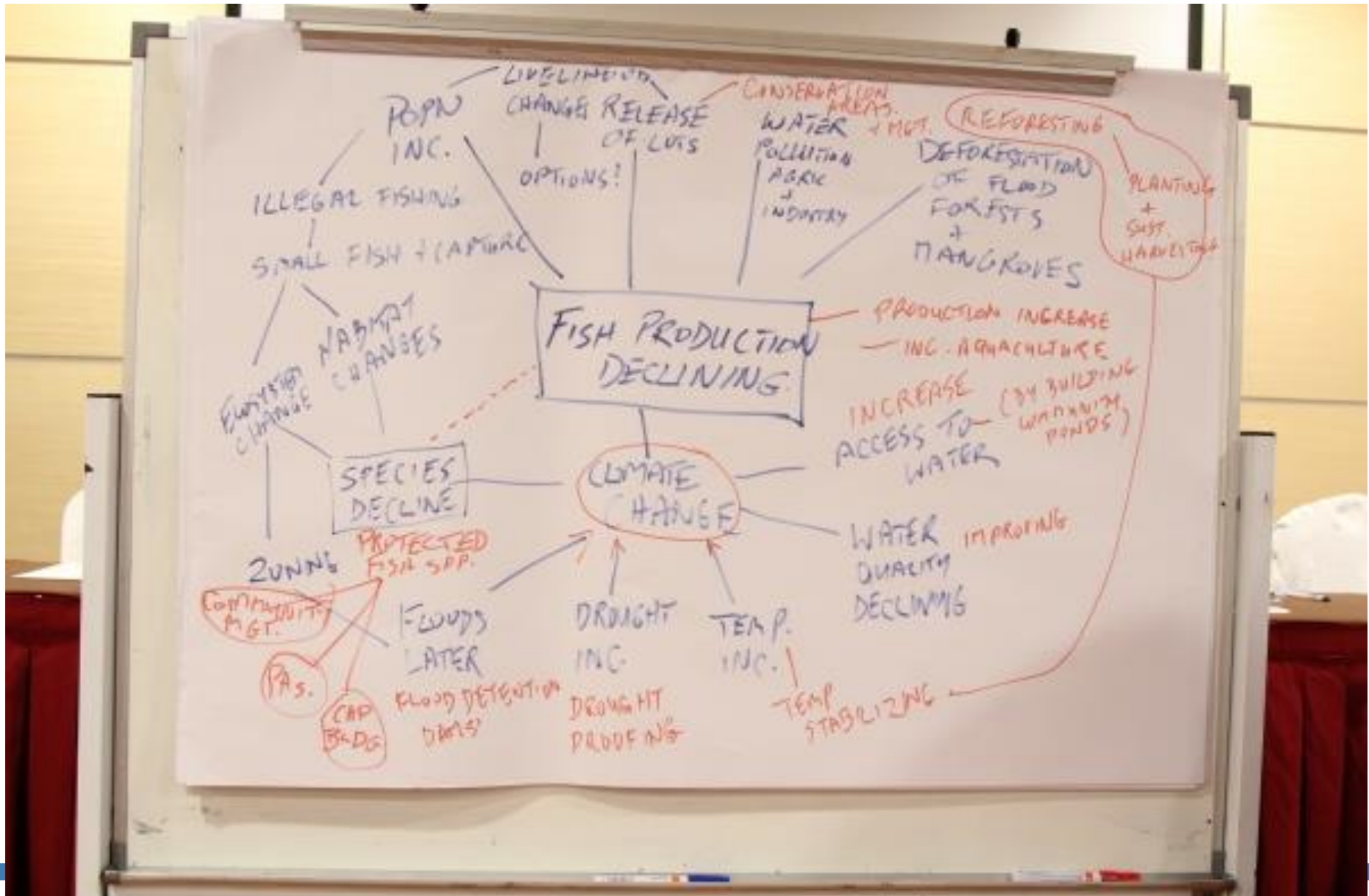


# Problem Tree Best Practices

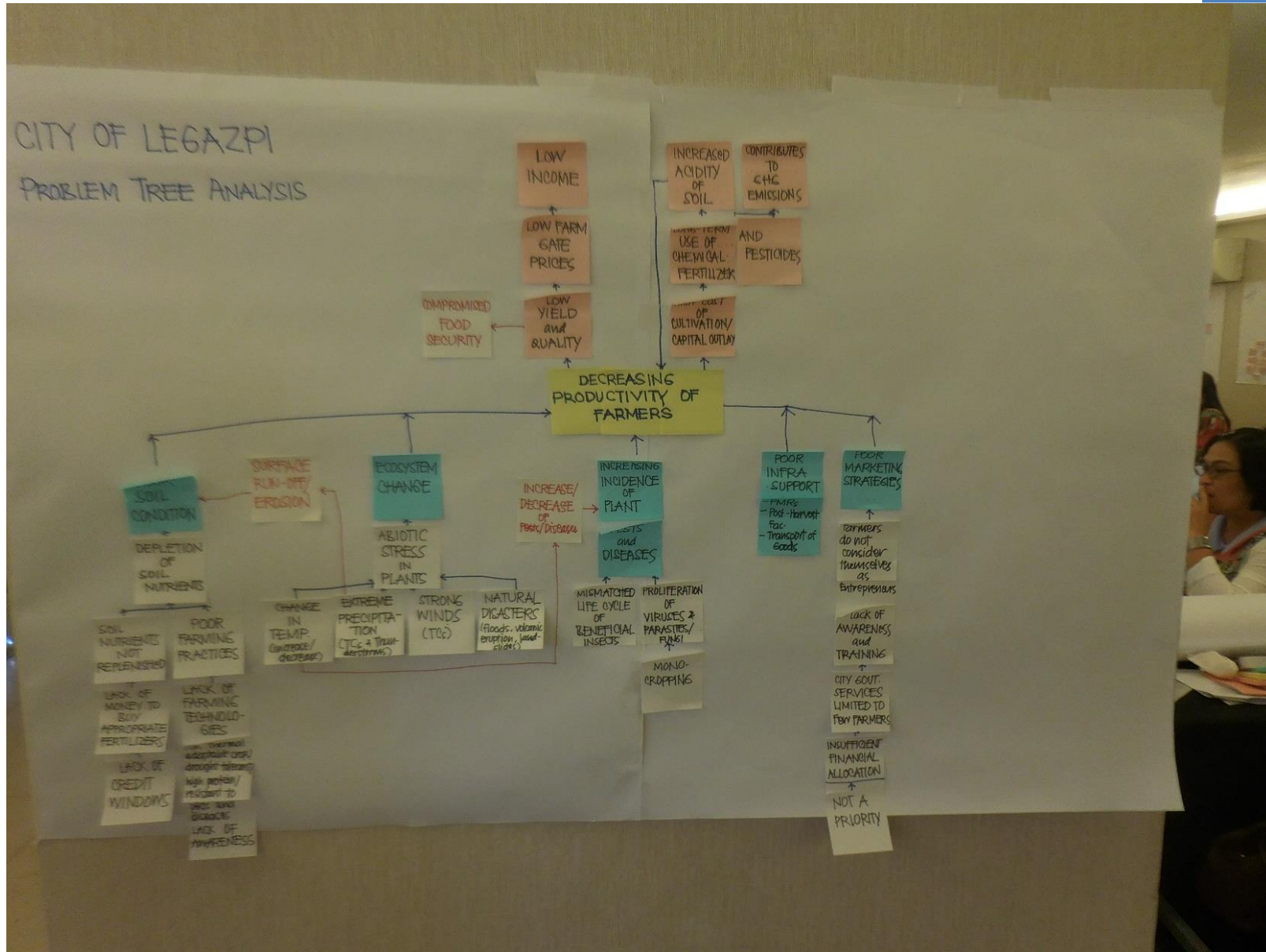
- **Problems should be evidence-based**
- **Identify cause and effect relationships**
- **Immediate causes suggest the major aspects of the core problem**
- **Identify the right problem!**
- **MUST BE PARTICIPATORY!**
- **Allow time for reflection and revision**



# Problem Tree Example



# Problem Tree Example: Legazpi City, Philippines



# Developing YOUR Problem Tree

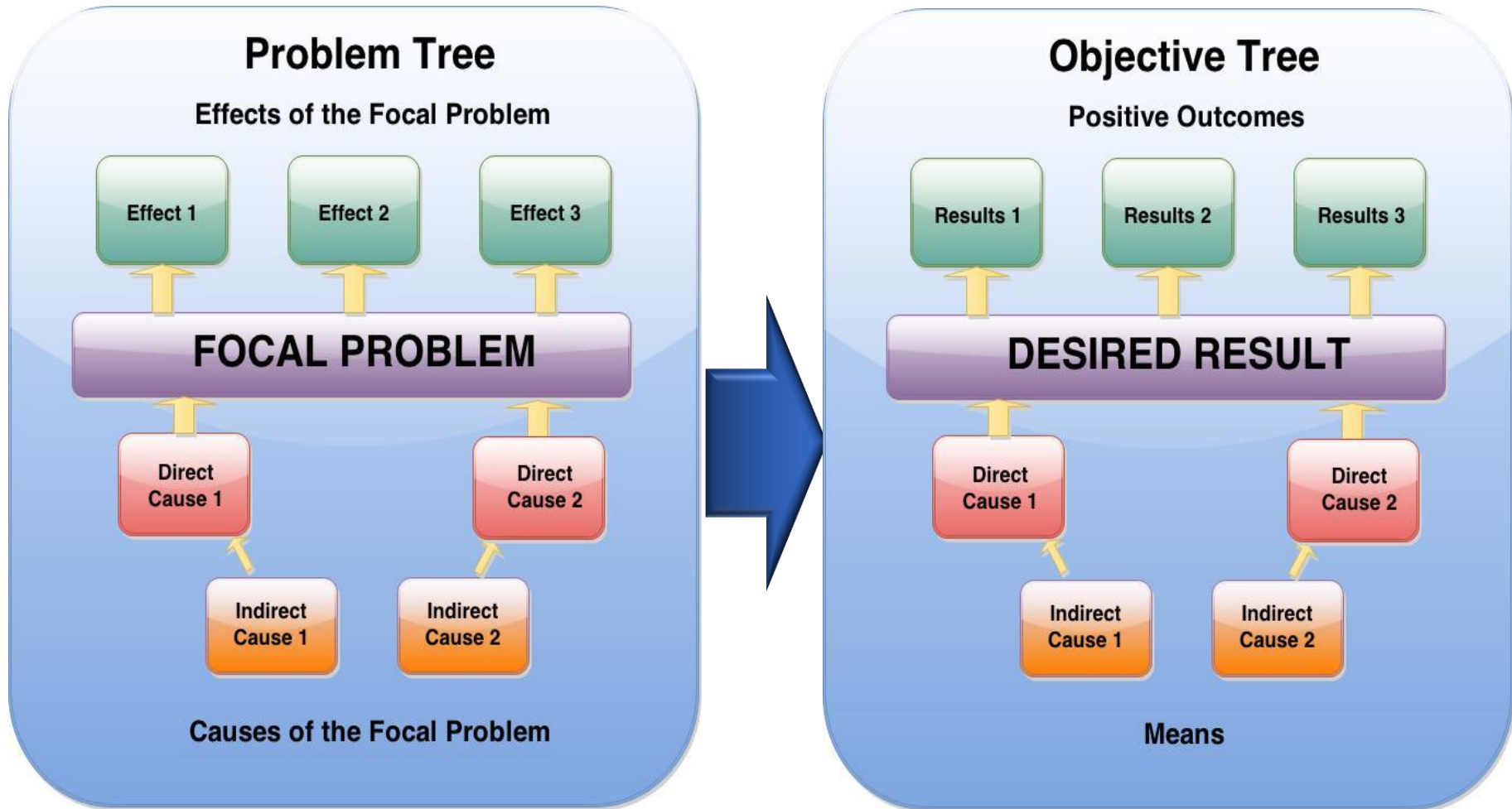
- **Divide into groups**
- **Use the flipchart/whiteboard**
- **Inclusive discussions**
- **Reflect on structure**
- **Report on your findings**



## Step 2: Develop an Objectives Tree

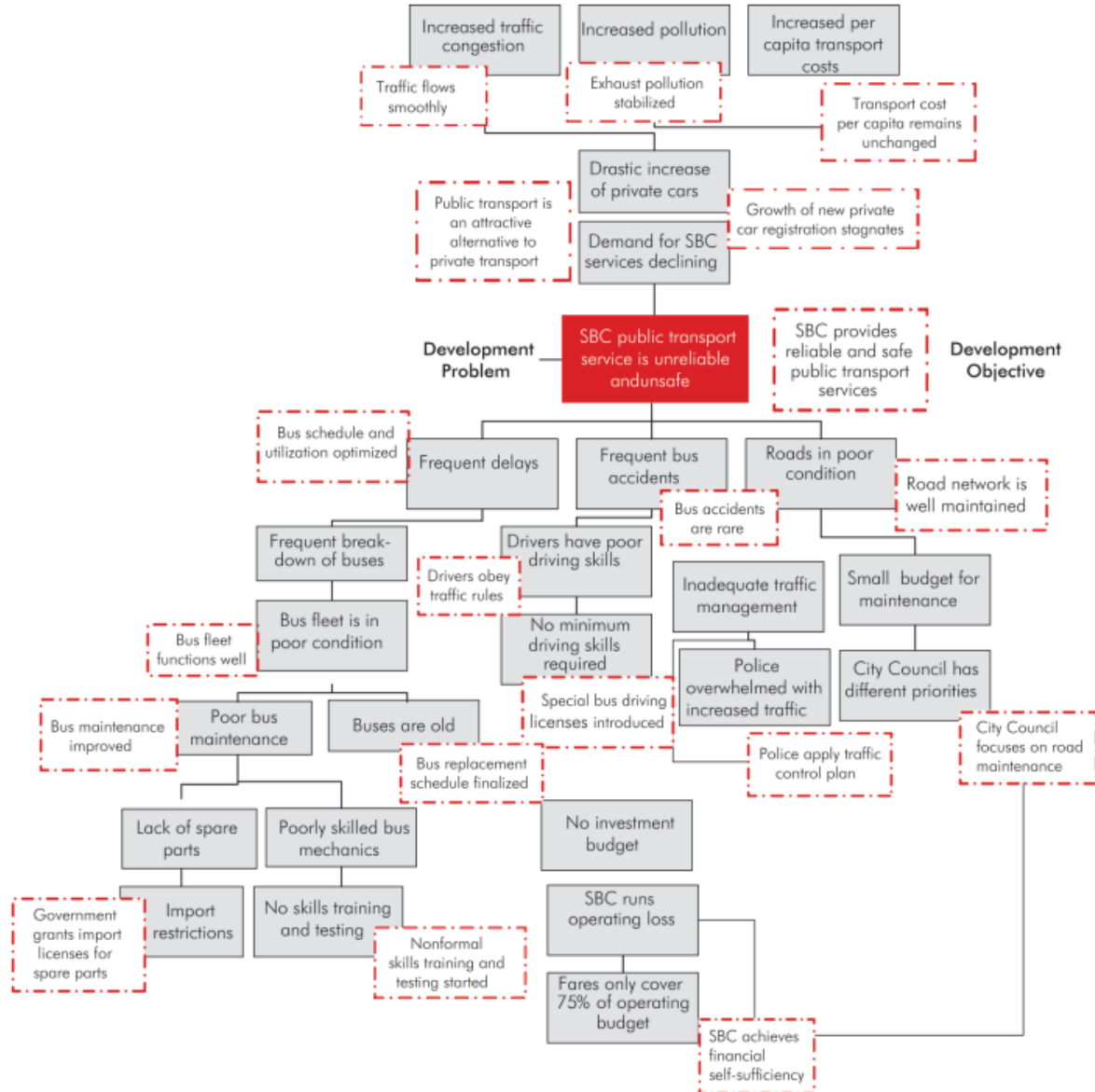
- 1. Now, reverse negative statements from the problem tree into positive ones:**
  - **Imagine that the problem has already been solved!**
  - **“Reduced fisheries capture” → “sustained fisheries capture”**
- 2. Modify the “causes” so they lead to the desired effects**
  - **“Habitat changed → habitat restored”**
  - **Thus, root causes become root solutions**
  - **Convert your problem tree to an objectives tree**

# Problems to Objectives

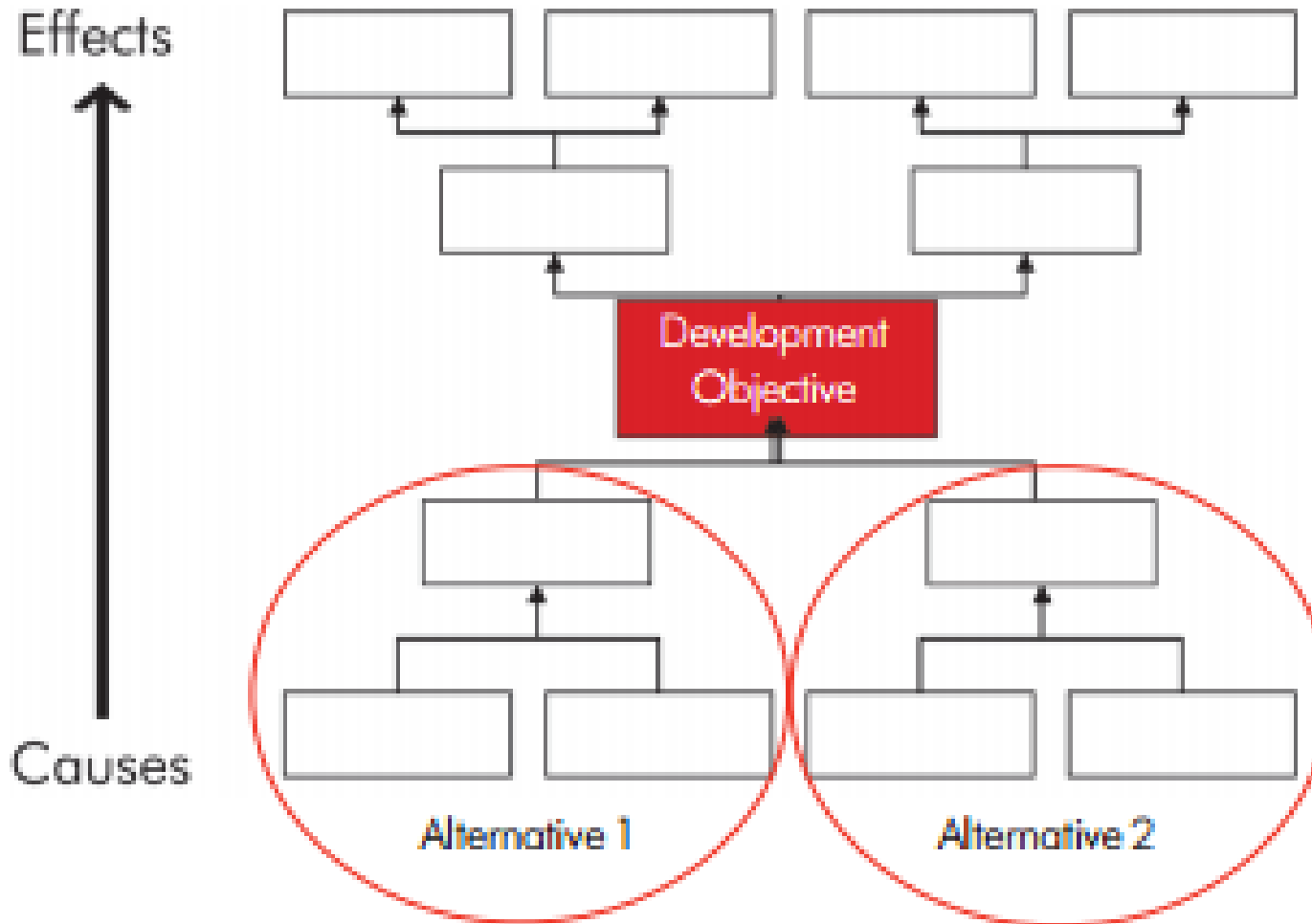


# Objectives Tree Best Practices

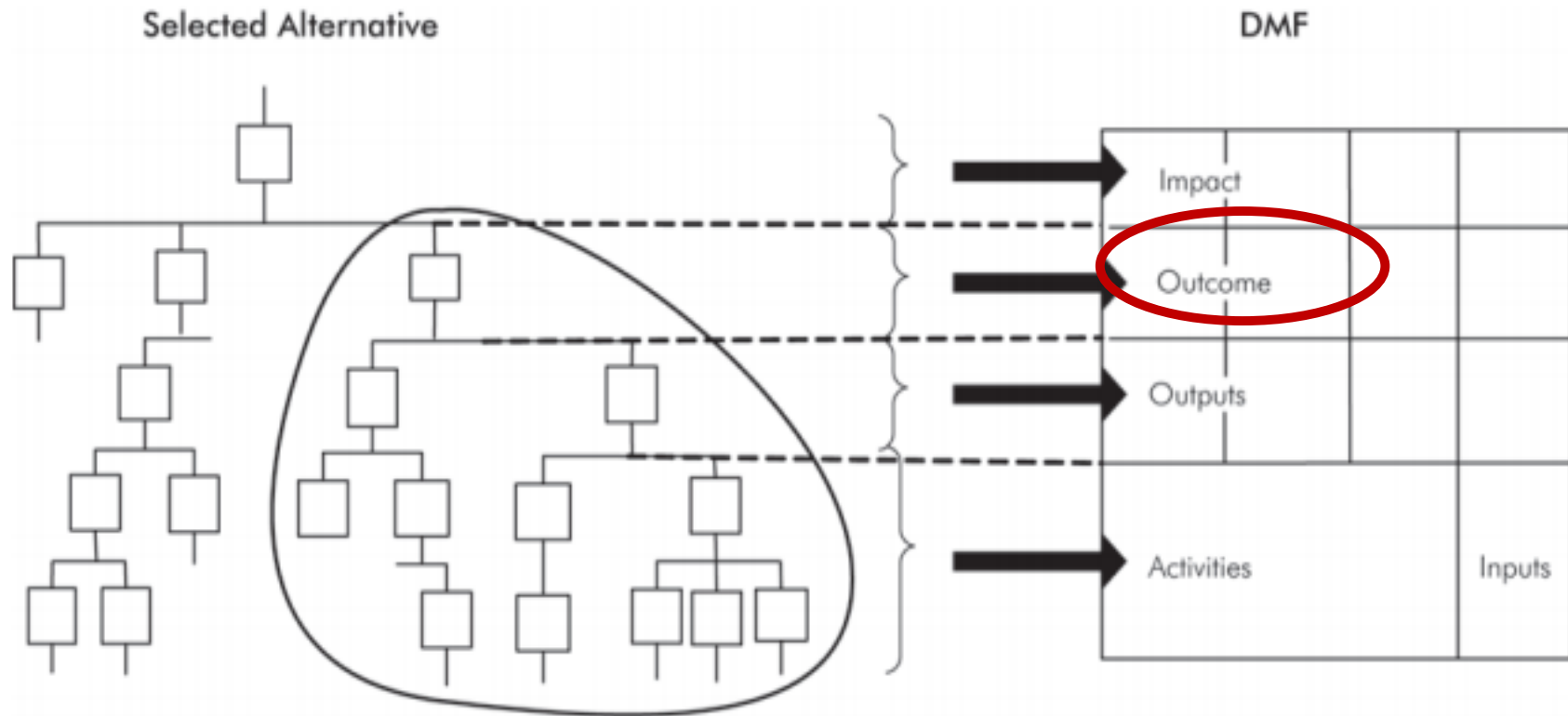
- **Positive statements of the desired state of the system**
- **Are the statements clear and unambiguous?**
- **Are the links between each statement logical and reasonable?**
- **Is there a need to add any corrective positive actions and/or statements?**
- **Are the positive actions at the level sufficient to lead to the result in the level above it?**
- **Is the overall structure simple and clear?**



## Step 3: Applying the Objectives Tree



# From Objectives to DMF Matrix/Logframe



*IMPACT—OUTCOME—OUTPUTS—ACTIVITIES—INPUTS*