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Overview

“The word ‘audit’ is being used in the UK with growing frequency. In addition to financial audits, there are now environmental audits, value for money audits, management audits, forensic audits, data audits, intellectual property audits, medical audits, teaching audits, technology audits, stress audits, democracy audits and many others besides.” (Power, 1996)

The UK has a long history of public sector audits that extends to medieval times (Maltby, 2008). This manifesto audit is distinctive as it seeks accountability from those in positions of executive and legislative power. This is in contrast to public sector audits where government officials are held to account.

A country that is flourishing, economically, socially and environmentally, is one where its citizens and residents are able to lead meaningful lives, as they define it; and have the resources to meet their needs consistently over time. In effect their lives are free from poverty. The manifesto audit’s objective is to assess the extent to which party manifestos provide the confidence that policies will enable British society to flourish within environmental limits, both now and in future. This chapter sets out the principles underpinning the audit, scope and process.

Independence, transparency and materiality are the three key principles that animate this work. Independence has been achieved by commissioning academics who are experts in their respective topic area, and explicitly requiring peer reviewers to comment and advise on the neutrality and objectivity of their analysis. Public disclosure of the audit guidelines (see Appendix 1), peer review form (see Appendix 2) and the audit process (see below) are the primary means to provide transparency.

Materiality is a term associated with financial audit. In the context of this audit, it refers to issues which will be of significance to the users of this report, i.e. voters. We have addressed materiality in two ways. Firstly, by identifying policy areas that link to societal and individual flourishing. Secondly, authors were required to comment on the equity and sustainability implications of policies in their respective topic area.

Manifestos are a time-honoured tradition in British politics, and a key communication tool for political parties to articulate the society they hope to co-create and to describe their policies. We focus on manifestos as the evidence base for the audit as it permits a level playing field for analysis. It would have been desirable to examine other information. However, the relatively late release of manifestos meant we did not have the time to do supplementary analysis.

This audit was designed in 2015 by the Methodology Working Group. The team was led by Debjani Ghosh and its members were Julia Oertli and Sara Mahmoud. Oversight was provided by three academics – Iason Gabriel (University of Oxford), Sandy Schumann (University of Oxford) and Keith Horton (University of Wollongong and member of the ASAP Advisory Board).
The audit process started with the development of a narrative that expressed what flourishing is. The next step was the design of audit guidelines, and peer review and quality assurance processes. The flourishing narrative was created through a literature review and dialogue with academics, students and think tanks at a workshop. It was then refined through a two-stage review process involving Iason Gabriel, Sandy Schumman and Keith Horton. Further information on the narrative can be found on www.UKPovertyAudit.org.

The audit guidelines template (see Appendix 1) was created by the Methodology Working Group and refined following a pilot and subsequent review by Iason Gabriel and Sandy Schumann. The peer review form (see Appendix 2) was designed by Sandy Schumann based on best practice and refined following feedback from Iason Gabriel and the Methodology Working Group. Keith Horton also provided review comments on this document, audit guidelines and peer review form.

Authors and peer reviewers were appointed based on their expertise and availability to work to the very short timelines. To begin with, authors created a baseline for their policy area and scored the parties across a series of multiple choice questions covering equity dimensions, transparency of costing and, where relevant, sustainability dimensions. Each author then wrote their assessments and provided an overall score for each party. These submissions were sent for peer review and authors made revisions made as appropriate.

Meta-analysis to derive the high-level findings was conducted by the Audit Team, led by Ellen Shepherd. The Audit Team is responsible for any errors, omissions or inconsistencies in the audit report.
Appendix 1: Audit guidelines

Objective

This audit is designed to assess how far the 2017 UK general election manifestos go towards addressing poverty, in order to help interested citizens make informed decisions when they vote on 8th June. We also aim to contribute to transforming the nature of information about poverty, and hold UK political parties to account for the impacts of their policies on society.

Context

The problem of poverty has many dimensions. We believe that it is best understood not only as the absence or lack of access to resources, but also as a wider set of constraints on the ability of individuals to lead flourishing lives. Building upon the Capability Approach developed by Sen (1999), we understand a flourishing life to require more than meeting people’s basic needs. Details can be found on pages 2-4.

Audit overview

The audit (pages 5-9) has three distinct sections.

Section A includes three questions that allow you to define an evaluative baseline specific to your research area. This section can be completed before the manifestos are published. We recommend that you do this so as to fully engage with the “flourishing life” approach we are adopting for the audit (250 words).

Section B asks you to evaluate the manifestos against your baseline understanding as defined in Section A. This section comprises of several multiple choice questions and is designed to help you structure your analysis.

Section C asks you to put your analysis developed in Section B in writing, referring to your baseline articulated in Section A (750 words).
Definition of a flourishing life

Drawing on Boltvinik (2005), we understand flourishing as a process in which people are able to meet a set of self-determined and dynamic needs, which will vary throughout their lives and change across space, time and according to different social contexts.

Our understanding of a flourishing life draws on Max-Neef’s typology of universal human needs outlined in the table below. According to Max-Neef (1989), there are nine universal human needs, which are non-hierarchical except for subsistence needs (such as food and shelter), which preceed other needs.

Table 1: Typology of needs after Max-Neef et al. (1991)

<table>
<thead>
<tr>
<th>Need</th>
<th>Examples</th>
</tr>
</thead>
<tbody>
<tr>
<td>Subsistence</td>
<td>Food, shelter, work, physical and mental health, living environment</td>
</tr>
<tr>
<td>Protection</td>
<td>Social security, health care, cooperation safe dwelling, care</td>
</tr>
<tr>
<td>Affection</td>
<td>Friendships, family, privacy, intimacy, generosity, respect, sense of humour</td>
</tr>
<tr>
<td>Understanding</td>
<td>Literature, study, critical capacity, meditation, curiosity, intuition, analysis</td>
</tr>
<tr>
<td>Participation</td>
<td>Responsibility, rights, expression of opinions, dedication, cooperation</td>
</tr>
<tr>
<td>Leisure</td>
<td>Imagination, tranquillity, spontaneity, peace of mind, remembering, relaxing, being alone, day-dreaming, enjoyment</td>
</tr>
<tr>
<td>Creation</td>
<td>Imagination, boldness, curiosity, building, designing, inventing, interpreting, expressing</td>
</tr>
<tr>
<td>Identity</td>
<td>Sense of belonging, self-esteem, consistency, commitment, growth, shared values, customs, language</td>
</tr>
<tr>
<td>Freedom</td>
<td>Autonomy, open-mindedness, equal rights, awareness, passion, self-esteem</td>
</tr>
</tbody>
</table>

People’s ability to flourish depends upon the interplay of:

- The development and application of their resources (monetary and non-monetary);
- Opportunities;
- Enabling and disabling factors which influence their desired outcomes; and
- Planetary boundaries.

These parameters are outlined overleaf.
Table 2: Parameters for a flourishing life

<table>
<thead>
<tr>
<th>Parameters for a flourishing life</th>
<th>Definition</th>
<th>Examples in relation to a particular need</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Resources</strong></td>
<td>External inputs that help <strong>individuals</strong> develop the capacities that allow them to pursue activities to fulfil their needs. They can be psychological¹ monetary² and non-monetary³.</td>
<td><strong>Example One:</strong> Need for good physical health: Balanced diet, health care, time for sleep and exercise, knowledge of healthy lifestyle, budget for healthy foods and sport activities</td>
</tr>
<tr>
<td><strong>Opportunities</strong></td>
<td>Available spaces (physical and virtual) in which activities can take place that allow the achievement of desired outcomes. These spaces are created at societal level.</td>
<td>Cycling route to work, local farmer’s market, affordable gym membership, reasonable work hours and holidays</td>
</tr>
<tr>
<td><strong>Enablers</strong></td>
<td>Social, cultural, political or environmental factors that allow resources to be mobilised towards desired outcomes.</td>
<td>Passion for sports spreading with 2012 Olympics</td>
</tr>
<tr>
<td><strong>Barriers</strong></td>
<td>Social, cultural, political or environmental factors that hinder resources from being mobilised towards desired outcomes.</td>
<td>Aggressive advertisement and spread of fast food chains</td>
</tr>
<tr>
<td><strong>Natural environment</strong></td>
<td>The natural landscape and planetary processes and systems, which enable the equitable and sustainable use of resources between populations and across generations⁴.</td>
<td>Balanced climate and weather conditions for agricultural yields, outdoors spaces for exercise, clean air</td>
</tr>
</tbody>
</table>

¹ They include optimism, autonomy and self-esteem and can be mapped to two core domains of personal well-being (NEF, 2009).
² This includes income, assets and free goods and services (for example health care, a car, school books).
³ This includes time, skills, knowledge, relationships and physical and mental health.
⁴ These include air quality, bio-diversity (loss), chemical pollution, climate change, (global) fresh water, land-use change, nitrogen cycle, ocean health, ozone depletion and phosphorous cycle (Sayers and Trebeck, 2015).
Opportunities, enablers and barriers are to a large extent determined by the institutional context. We recognise that institutions themselves are a product of historic and prevailing social values. Political parties represent a particular set of social values, which are reflected in their policies. These policies will shape the existing institutional landscape and affect the degree to which a flourishing life is possible for different segments of British society.

Inequality arises because individuals and groups in society have access to differing levels of resources and opportunities to apply these resources, and they experience the impact of external enabling and disabling factors in different ways.

Definition of poverty

We understand poverty as the inability to flourish. Poverty occurs when existing multi-dimensional needs cannot be fulfilled. This means poverty cannot be understood simply as the failure to attain a minimum level of income. For example, if subsistence needs are satisfied, but other needs (as per Max-Neef's typology of needs outlined above) remain unmet, an individual will not be flourishing but in a state of poverty.

Our definition of poverty does therefore not rely on absolute or relative poverty measurements, whether based on an income floor or inequality (e.g. the bottom 10% or 60% of median income). Instead, it reflects a broader understanding of people's dynamic needs and the interplay between the resources and opportunities available to them – as well as enabling and disabling factors in the external environment that allow these needs to be satisfied. Our approach also recognises the importance of human agency and the structures and spaces, which support or restrict such agency in achieving desired social outcomes.

References


AUDIT QUESTIONS

The focus of this audit is on the way in which policy proposals, contained within the party manifestos, influence the complex process of flourishing. The guiding question is:

Do the manifestos of each party provide you with confidence that the party’s policies will enable British society to flourish within planetary boundaries, both now and in future?

A. Baseline

This part draws heavily on your academic expertise. The aim is to develop a baseline against which to conduct an analysis of the manifesto texts (250 words in total) that covers the following three issues:

1. What would be a good social outcome(s) in your topic area in the UK context?
   Please note that we consider a good social outcome as one that recognises and responds to the legitimate needs and preferences of different social groups and takes account of its sustainability within planetary boundaries and across generations.

2. What are the relevant parameters influencing the above good social outcome(s)?
   Please refer to the elements outlined in Table 2 above.

3. What are the major challenges the next government will face when trying to achieve the outcome(s) described above?
   Governments invariably have to make trade-offs as part of policy making due to resource scarcity. They face challenges in balancing financial, economic, social/cultural, political and environmental issues. It should be noted that challenges in some situations can be reframed and perceived as opportunities for policy intervention. Any key issues arising from Brexit that impact your topic area should be considered here.

Add baseline here (250 words):

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5 These include differences across age, gender, socio-economic background (or class), ethnic background and household composition.
B. Evaluation

Compare and contrast the party manifesto proposals with respect to equity, sustainability and transparency. Please respond to the questions below in relation to your topic area, referring to the baseline developed in Section A. Please note that we do not expect all of the questions to be addressed in the manifestos, but ask you to consider the whole set of questions as it is important to record any significant omissions made by the parties.

Example:

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<th>Conservative</th>
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<td>1a) Score</td>
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<td>Privileges working age adults</td>
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I Equity

1. To what extent do the manifestos discuss good social outcomes that recognise and respond to legitimate needs and preferences of the following social groups:

   a) Different age groups
   Examples of age groups may include children, people of working age including young adults, people of pension age.

   1 Ignored
   2 Privileges a single age group (which one?)
   3 Privileges a single age group, but acknowledges implications for other age groups
   4 Acknowledges the implications for multiple age groups, but overlooks inter-generational implications
   5 Acknowledges the implications for multiple groups including inter-generational implications

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   b) Different genders and sexual orientation

   1 No information provided
   2 Information allows assessment in a few areas of life
   3 Information allows assessment in some areas of life
   4 Information allows assessment in all areas of life
   5 Information shows trade-offs across different areas of life
c) Different socio-economic backgrounds
Please refer to the ABC1 demographic categories, which include: upper middle class, middle class, lower middle class, skilled working class, working class, those at the lowest level of subsistence (http://www.abc1demographic.co.uk).

1 Ignored
2 Privileges a single group and does not mention others (which one?)
3 Privileges a single group, but acknowledges implications for other groups
4 Acknowledges the implications for multiple groups, but overlooks vulnerable groups (eg. physical and mental disability)
5 Acknowledges the implications for multiple groups including vulnerable groups (eg. physical and mental disability)

d) Different ethnic backgrounds

1 Ignored
2 Privileges a single group and does not mention others (which one?)
3 Privileges a single group, but acknowledges implications for other groups
4 Acknowledges the implications for multiple groups, but overlooks marginal groups (eg. asylum seekers)
5 Acknowledges the implications for multiple groups including marginal groups (eg. asylum seekers)
e) Different household compositions
Examples of household compositions may include single or one-person households, dual income households, households with no children.

1. Ignored
2. Privileges a single household composition and does not mention others (which one?)
3. Privileges a single household composition, but acknowledges implications for others
4. Acknowledges the implications for multiple household compositions, but overlooks vulnerable groups (e.g. single parents)
5. Acknowledges the implications for multiple household compositions including vulnerable groups (e.g. single parents)

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2. To what extent do the manifestos discuss good social outcomes that recognise and respond to legitimate needs and preferences of different UK regions?

1. Ignored
2. Privileges a single region and does not mention others (which one?)
3. Privileges a single region, but acknowledges implications for others
4. Acknowledges the implications for different regions, but overlooks more economically vulnerable regions (e.g. in receipt of EC funding)
5. Acknowledges the implications for different regions including more economically vulnerable regions (e.g. in receipt of EC funding)

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II Transparency

3. To what extent are the parties transparent about the evidence base used to formulate their policies in your research area, including whether pledges made have been costed or not?

1. No information provided on theoretical or empirical basis of policies and associated costs
2. A single example
3. A few examples and costed proposals but no clear position on trade-offs
4. A few examples and costed proposals, with clear position on trade-offs for current generation
5. A few examples, costed proposals and clear position on trade-offs for current and future generations

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III Sustainability: Triple bottom line

Only to be completed if there is anything specific in your research area pertinent to this issue.

4. We are also going to be assessing the extent to which the manifestos discuss good social outcomes that take account of their sustainability within planetary boundaries, financial and economic viability and social considerations (short and long-term). Is there anything you would like to raise here from examining the different party manifesto commitments in your research area that is pertinent to the triple bottom line?

Planetary boundaries may refer to air quality, bio-diversity, chemical pollution, climate change, fresh water, land-use change, nitrogen cycle, ocean health, ozone depletion and phosphorous cycle (Sayers and Trebeck, 2015). Examples of financial and economic viability may include affordability and inter-generational sustainability. Examples of social considerations may include the quality of relationships, networks, neighbourhoods, families, communities and friendships.

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IV Final rating

Do the manifestos of each party provide you with confidence that the party’s policies, in your research area, will enable British society to flourish within planetary boundaries, both now and in future?

1. Very low confidence
2. Pretty low confidence
3. Medium confidence
4. Pretty high confidence
5. Very high confidence

<table>
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<tbody>
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C. Analysis

Compare and contrast the policy proposals in the party manifestos for your research area, assessing whether they will enable a greater likelihood for British people now and in future of experiencing a flourishing life. Please write around 750 words, referring to your answers in Sections A and B. This standalone text will be used in the final report.

Add analysis here (750 words):
Appendix 2: Peer Review Form

Dear Reviewer,

Thank you for agreeing to review this chapter for the 2017 UK general election manifesto audit. Please complete this review form with ratings for four key aspects, that is, the chapter’s theoretical soundness, analysis, writing style and neutrality, as well as providing any general comments. We also ask you to provide a final recommendation in section F.

Please note that any comments under the sections in this form entitled ‘Suggestions to authors’ will be forwarded to the authors. Comments to the editors are optional.

Once again, thank you for your time and we look forward to receiving your review.

Yours sincerely,
Academics Stand Against Poverty UK
Chapter Title:

A: Theory

How would you rate the chapter’s theoretical soundness? Is the baseline (section A of the audit guidelines) founded on relevant theoretical frameworks/models?

<table>
<thead>
<tr>
<th>1 – Poor</th>
<th>2 – Fair</th>
<th>3 – Average</th>
<th>4 – Good</th>
<th>5 – Excellent</th>
</tr>
</thead>
</table>

Comments to editors:

Suggestions to author/s:

B: Analysis

a) How would you rate this article’s analytical rigor? To what extent is the analysis (section C of the audit guidelines) based on the baseline (section A of the audit guidelines) and the evaluation (section B of the audit guidelines)?

<table>
<thead>
<tr>
<th>1 – Poor</th>
<th>2 – Fair</th>
<th>3 – Average</th>
<th>4 – Good</th>
<th>5 – Excellent</th>
</tr>
</thead>
</table>

Comments to editors:

Suggestions to author/s:
b) To what extent do the ratings provided in section B of the audit guidelines align with information within the party manifestos? Please provide an overall evaluation and highlight any discrepancies you have identified in the comment section, noting the respective party and area (e.g., equity, transparency, etc.).

1 – Poor  
2 – Fair  
3 – Average  
4 – Good  
5 – Excellent

Comments to editors:

Suggestions to author/s:

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C: Writing Style

How would you rate the chapter’s style of writing? To what extent would the writing resonate with the general public or policy makers?

1 – Poor  
2 – Fair  
3 – Average  
4 – Good  
5 – Excellent

Comments to editors:

Suggestions to author/s:
D: Neutrality

To what extent does the writing reflect a politically neutral stance?

<table>
<thead>
<tr>
<th>1 – Poor</th>
<th>2 – Fair</th>
<th>3 – Average</th>
<th>4 – Good</th>
<th>5 – Excellent</th>
</tr>
</thead>
</table>

Comments to editors:

Suggestions to author/s:

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E: General Assessment

<table>
<thead>
<tr>
<th>1 – Poor</th>
<th>2 – Fair</th>
<th>3 – Average</th>
<th>4 – Good</th>
<th>5 – Excellent</th>
</tr>
</thead>
</table>

General comments to editors:

General suggestions to author/s:
**F: Recommendation**

Please insert an “X” to indicate your final recommendation:

<table>
<thead>
<tr>
<th>Recommendation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accept without changes</td>
</tr>
<tr>
<td>Revise and resubmit with minor changes</td>
</tr>
<tr>
<td>Revise and resubmit with major changes</td>
</tr>
<tr>
<td>Reject</td>
</tr>
</tbody>
</table>
Bibliography


