

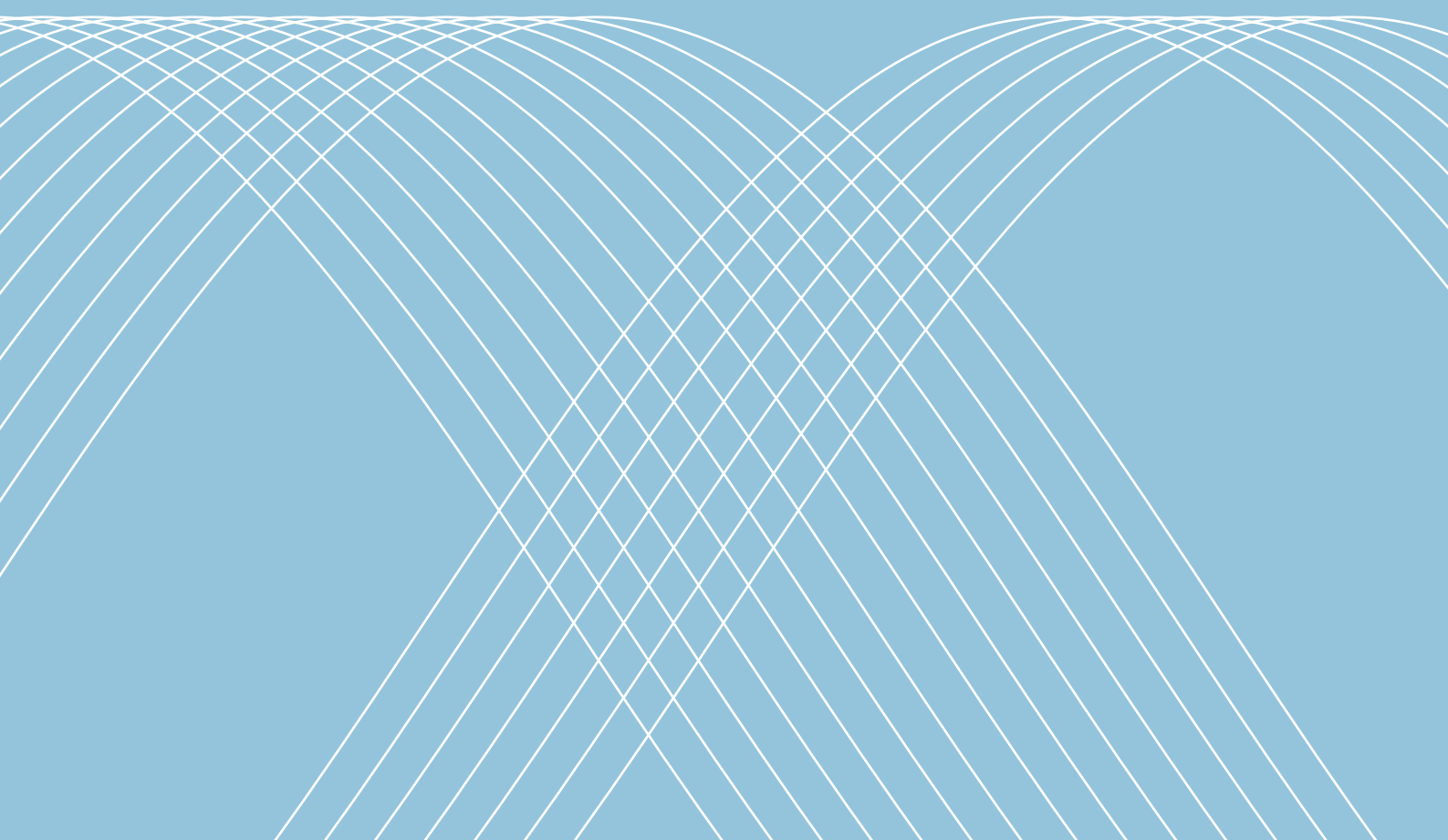


# Review of the Honours System

by

**Sir Hayden Phillips**

Permanent Secretary at the Department for Constitutional Affairs, with special responsibility for the honours system on behalf of the Cabinet Secretary.



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Sir Andrew Turnbull

You asked me on the Prime Minister's behalf to review the current system that governs the Honours process, with a view to ensuring that the system is fair and more accessible to the population as a whole.



With this letter I submit the report of my review.

I have looked at the system as a whole very carefully and I have no evidence that broad public opinion wants to see Honours abolished. Indeed quite the opposite; there is substantial support in principle and the award of an Honour is our way in the United Kingdom of saying thank you publicly to those who have 'gone the extra mile' in their service or who stand out 'head and shoulders' above others in their distinction. But I would want the system to be more widely understood and more easily accessible to the population as a whole.

This report does not deal with titles or the names of orders although some people feel passionately about these whether for or against change. I have concentrated on what seem to me the more important issues of fairness and whether people have confidence in the system and have sought to make recommendations that are practically workable and can achieve this.

To underpin fairness and to build confidence I recommend three main changes:

- a) Communities across the United Kingdom are not in my view as well represented or sufficiently included in the current process as they should be. I therefore make recommendations that will help build better local networks to stimulate nominations that will better reflect the whole of society today. The system must not be captured by those organisations or individuals who know how to use it;
- b) Those who chair the specialist committees which advise on recommendations should be independent of Government and the Civil Service to encourage a more open and independent system. I have considered but rejected the creation of a wholly independent Honours Commission which would in my view be a disproportionate and costly response to criticism; and
- c) the balance of awards should be further shifted away from state service (the Civil Service, the Diplomatic Service, and the military) to the wider public in a ratio of 20% to 80%. The shift will help in re-examining the number of honours allocated to different sectors of our national life.

In all there are thirty-one recommendations in my report, many of which are about the process and designed to make the system more open and user friendly. I recognise that systems do not always make exciting reading, but they are key to the future of a more representative and more trusted Honours system.

However there is one recommendation which may seem small but in fact affects the thousands of people already honoured and all those to come. Most people rarely get the chance to wear the decoration they have received more than once. I think they should be able to do so. I suggest those who wish should be able to wear a small badge or some such symbol on an every day basis. And it would also make the system, literally, more open.

A handwritten signature in black ink that reads "Hayden". The signature is written in a cursive style with a long horizontal stroke at the end.

**Sir Hayden Phillips**

## Foreword and Summary

1. This is the first published report of a review of the Honours system in this country by someone who has been closely involved in running it.
2. The terms of reference for this review were:

To review and make recommendations on the process for the award of Honours in what is currently the Prime Minister's List, the Diplomatic Service and Overseas List and the Defence Service's List in order to:

- make it possible for the full and diverse range of society to be increasingly reflected in successive honours lists, while maintaining the principle that awards are made solely on merit;
- introduce a greater transparency in the honours process, while maintaining strict confidentiality about those who are candidates;
- introduce a greater element of independence (of the Government and the Civil Service) into the recommendation for the award of honours; and
- make other recommendations relevant to ensuring that the honours system is held in high public esteem.

I recommend that consideration is given to making a number of changes in each of these areas, and these are summarised at the end of this Foreword and Summary.

3. This report is written by someone who is 'inside' the honours system. For the last 12 years I have been involved in making and assessing recommendations, and have over the last two years been responsible for supervising the Prime Minister's List on behalf of the Cabinet Secretary. This report benefits therefore from the views and experience of my Permanent Secretary colleagues, and from many of the expert assessors in individual fields who assist us voluntarily. But, in addition, I have also been able to take account of the evidence given to the Public Affairs Select Committee in its parallel examination of the Honours system, and from the range of views reflected in the media, especially towards the end of 2003.

4. Some people believe the whole system should be swept away. Others would abolish traditional titles and historic Orders. Some of those who hold these views hold them with a passionate intensity. But I do not believe that there is a broad public opinion that is seriously opposed to having a national system through which The Queen, as Head of State, confers recognition on the contribution of individuals to our society.

5. Put more simply the honours system is our way, within our cultural history, of saying thank you, publicly. Many other countries do the same – with titles and orders – which reflect their cultural history whether that is more ancient or more recent than ours. (Some people will find interesting the information this review has gathered together on the systems in other countries, set out in annex 2.)

6. Questions have been raised about whether the Order of the British Empire should continue. Very few people have refused an honour because of that title but some argue that, while the title may properly reflect our history (as other titles do), it is anachronistic in a damaging way, as other titles are not. Personally, I do not believe this issue should take priority over other changes to the honours system but this can be further considered in the light of the views of the Public Administration Select Committee. In considering the case for change, full weight would need to be given to ensuring that

- a) membership of the existing Order is in no way devalued (there are about 150,000 members of the Order);
- b) those who join a new Order feel it is of equal status; and that
- c) the title and the consequences of a change are properly thought through.

7. It is also suggested that the appointment as Knight Bachelor should be discontinued because, by definition, it is confined to men. It is therefore discriminatory in form – though it is not discriminatory in impact, as there is no evidence that women who merit an honour at that level do not receive one because of the existence of this distinction. This issue seems to me one of secondary importance in terms of what should be the key areas of reform.

8. This report therefore focuses on what really seems to me to be important about any honours system, which is not its outward trappings or its history, but whether the balance of awards feels fair, whether the right processes are there to support it and whether it is open and carries confidence, while properly protecting confidentiality.

9. It is important to keep in mind the fact that 98% of those offered awards accept them, and that the majority of the 2% who refuse do so for personal private reasons. The award of an honour gives pleasure to the family, friends and community in which the recipient lives. The fact that the investiture is, almost invariably, done by The Queen or the Prince of Wales, and the manner in which it is done reinforces its high level of acceptance.

10. Some people argue that because the main list is called the Prime Minister's List, and the fact that the other two lists are also made on the recommendations of Ministers, the lists must somehow be 'political'. In my experience over 12 years this is not so. Ministers take ownership of the recommendations put to them after careful scrutiny and rightly under our constitutional arrangements put their advice to The Queen. This is a constitutional not a political process.

## Issues of balance, diversity and selection

11. The honours system tries to recognise and reward two strands of contribution:

### Service

public, community and voluntary;

and

### Distinction

excellence, achievement, etc.

In each strand the standard, and the consequent criteria, should be high. In terms of service an honour should not just go with a job well done or because someone has reached a particular level – but because an individual has in plain terms 'gone the extra mile' in the contribution they have made. For distinction the standard should be that someone stands out 'head and shoulders' above his or her peer group in what has been achieved. In some individuals, of course, these strands are intertwined. The different levels of award broadly reflect local or national contributions, and levels of achievements. Judgements are not moderated by the Civil Service alone but substantially informed by a large number of independent and distinguished experts in a variety of fields of national life.

**12.** The process of assessment through specialist committees also needs to take account, at each round, of the geographical balance of awards, of the balance between sectors, by gender, and by ethnic background. No one list can pretend to get this absolutely right but the important point is to ensure, as lists are taken together over time, that the changing balance reflects what reasonable people would consider fair.

**13.** Any honours system has to have a limit on numbers otherwise the value of recognition is cheapened. As is explained more fully in the body of the report, this is done by allocations within the total being given to individual sectors, both by overall number and by level. Without such rationing the task would be unmanageable but it does require regular review to avoid the system reflecting too much of past priorities and not enough of present needs.

**14.** Two major changes have occurred over the last 40 years which have fundamentally affected the honours system as it has progressively moved away from being primarily a system of reward for Crown Service. The first was in the mid-1960s when the balance between honours for State service and non-State service substantially moved to reward the latter. The percentage of awards going to State servants in the Prime Minister's List is now only one third of the figure in 1960. The second was in 1993 when John Major as Prime Minister introduced the system of direct public nomination. This has proved very successful in broadening the coverage of honours so that 45% over recent lists have achieved awards by that route.

**15.** A further change has occurred since 1997, when the present Prime Minister encouraged more honours to be made available to public service sectors such as education and health, and for the highest awards to be made more readily available to, for example, head teachers whose primary contribution will have been made locally but whose performance stands out nationally as a beacon of excellence.

**16.** I believe this report is a good opportunity to re-examine the balance of honours across sectors. Precise future allocations should be a matter for further study and consultation, but I believe it should properly begin with a further readjustment between State and non-State service. Taking the three State lists together, they accounted in 2003 for 27% of all honours awarded in that year. There is a need for the honours system progressively to reward, and be seen to reward, those in wider public service and in the community and voluntary sector. I therefore suggest that a sensible target over the next three to five years would be a balance of 80% of awards overall going to non-State service, and 20% to State service. This would continue to provide for a central strand of the honours system to reflect service to the Crown, whether at home or abroad, and in the military, while giving room for adjustment across sectors, and reducing the (incorrect) perception that honours are given automatically to State servants.

**17.** The second area in which I believe the honours system needs to do better is to provide assurance that it is doing everything reasonable to cover the diversity of society and its geographical spread. In the last 10 years the percentage of awards going to women has risen from 27% to almost 40% and the percentage of honours at CBE and above going to women has practically trebled. Likewise – on the information available – the percentage of all honours going to black and minority ethnic candidates has also pretty much trebled and is now rather above the proportion of BME people of the relevant age groups in the total population. But black and minority ethnic people are still missing out at the higher levels. This may well be because they are currently under-represented in the groups that have traditionally attracted awards at that level. This picture is changing, although not fast enough. There may well be a role for the honours system in being slightly ahead of the trend in order to provide a lead. It should certainly not lag behind it.

**18.** However, there is always a risk, despite the reforms which have occurred, that names will tend to enter the system because certain bodies or communities are very familiar with it and how it works, and others are not. While many government departments do very well in trying to ensure as wide a coverage as possible (DCMS for example consults over 200 bodies), I think more use could be made of government regional offices and of the Queen's representatives locally, the Lord Lord Lieutenants. I would like to see Lord Lieutenants leading local honours advisory committees which would be there not just to help assess nominations, but to stimulate them. However this will need to be properly discussed with those concerned.

## Issues of independence and governance

**19.** The present system is based on government departments, coordinated by Ceremonial Secretariat in the Cabinet Office, and led personally by Permanent Secretaries who chair the specialist committees, and supervised by the Main Honours Committee which acts as a quality control on all the rest. There is wide and deep experience in departments and at the centre of government. Permanent Secretaries, in support of the Cabinet Secretary, act independently of their Ministers in the process, and many of our independent assessors whom I have consulted would prefer that Permanent Secretaries remained in charge of the process because of the Civil Service traditions of impartiality and objectivity.

**20.** The system could be run quite differently. We could, as in some other countries, create an Honours Commission, entirely separate from government, with its own staff – as now is the case in the House of Lords Appointments Commission, and will be with the proposed Judicial Appointments Commission. But these bodies are appointing to jobs or roles, while the honours system is about acknowledgement of service, not remunerated employment. A separate Commission would be another and potentially large quango to be set up, with all the costs of loss of experience and then the re-creation of expertise. And it would still be necessary for government departments to be consulted on nominations.

**21.** If the objective of change is to put into the system greater independence of leadership to reinforce confidence in the system while avoiding unnecessary extra cost, that could be achieved in an economic and evolutionary way by appointing independent chairs (whose names would be publicly known) to the range of advisory committees and ensuring that the committees themselves all contained a predominant independent majority. This would build on the current position of many of the committees – Science, Medicine, Arts and scholarship (Maecenas), Sport and Media – in which the independent members far outweigh Civil Service members. Indeed there are now independent members on the Main Honours Committee.

**22.** I suggest this approach is taken and then given a chance to be tested and evaluated over a three- to five-year period. The process of appointment of such independent people would have to carry confidence. The qualities they should have would be set out publicly and a wide consultation employed to find a suitable and diverse group. A proportionate process to do this should be agreed with the Commissioner for Public Appointments. A decision will be needed as to whether the chairs should be experts in the field in question, or whether it is better, as now, for them independently to hold the ring and balance the range of expert views. I think the latter would be preferable. It would also reduce the risk of lobbying.

**23.** It would be important for the continuity and authority of the system if the Permanent Secretaries of the relevant departments attended committees to explain departmental recommendations. The Main Honours Committee would thus be composed of independent members (the chairs of the sub-committees), but I would suggest it be chaired by the Cabinet Secretary or as now by his representative, and include the Permanent Under-Secretaries of the Foreign and Commonwealth Office and of the Ministry of Defence. The three present lists would be moderated by the Main Committee for consistency, including, for the State list, across the Home Civil Service, the Diplomatic Service and the Defence Services. This would enable the Main Committee to provide the right quality control of the three lists and ensure consistency between them.



**24.** The advisory structure in any such system is important to assist sensible comparisons of merit and achievement across sectors of national life. At the moment it is done by sector. A range of other ways could be devised but sectoral division is undoubtedly the simplest and I suggest that principle is retained while, to increase coherence of comparison between candidates for honours, they are grouped differently from the current position into the following:

- The economy;
- Community, voluntary and local public service;
- Health (including Medicine);
- Education (including scholarship);
- Arts (including Media);
- Science and Technology;
- Sport; and
- State Service.

**25.** Another part of the governance of the Honours system is the Honours Scrutiny Committee which was originally created to vet political honours, including peerages. Since peerages are now dealt with by the House of Lords Appointments Commission, its remaining tasks are to check for propriety on any awards which have been added to the list by the Prime Minister, including those for Parliamentary service, and to consider whether political donations may have influenced any of the other awards at Kt/DBE and above. There is a decreasing role. The register of party political donations will cover a full five years by 2006. It seems difficult to justify keeping a separate scrutiny committee rather than absorbing the role into the House of Lords Appointments Committee, especially as two of the three members, Baroness Dean and Lord Hurd, are already members of the House of Lords Appointments Commission. The existing members of the Honours Scrutiny Committee feel strongly that the two bodies should be merged.

**26.** There are two other more minor aspects of the process on which I judge there needs to be greater focused flexibility. The first is to take care that individuals who have made valued contributions across a range of sectors do not fail to be rewarded because no one advisory committee affords them sufficient precedence. To do this, a few awards at each level should be kept back so that the Main Committee could monitor this at each round. (This is done now at the highest level of award to enable the committee to check on sectoral balance across the whole of the Prime Minister's List.)

**27.** The second area where a greater flexibility seems to me to be desirable is in the application of the conventions that:

- a) five years should elapse between one award and another, or reconsideration after a refusal; and
- b) awards should not be made after retirement or in respect of a previous job where someone has moved to another.

I recognise that it is important that the conventions are retained as benchmarks but I am anxious that they are not applied mechanistically.

## Issues of transparency and accountability

**28.** I believe that the suggestions this report makes on balance and criteria, on greater independence and changed governance, together with the publication of this report itself, will go a long way to explain how honours are awarded and why. However I believe that in two respects confidentiality should be retained.

**29.** The first is the identity of candidates under consideration, to whom a duty of confidence is owed, as it is to those who recommend them. As far as I know, no one has suggested that this position should change. It has been suggested, however, that once an award has been made the full citations of those honoured should be published. I disagree partly for the simple and practical reason that the agreement of both the author(s) of the citation and the recipient would be required and the timetable for each honours round is already tight enough. In addition, if agreement was withheld, it would also be obvious that that had occurred and that would invade the privacy of an individual recipient.

**30.** However, I believe we can and should be more open about the nature and quality of citations on a generic basis to assist both in understanding what is required and in encouraging nominations. This report (in annex 8) therefore gives some generic examples. I also believe that the existing short citations should be expanded slightly to make them more informative.

**31.** The second aspect of confidentiality which I believe is highly desirable is to keep confidential the names of the expert assessors who assist in advising on honours. The system depends on their knowledge and expertise voluntarily given, and the great majority of distinguished people who now assist have told me they would be unwilling to serve in the way they do, or at all, if it was decided their role should be a public one. Understandably, they wish to avoid being approached by candidates or those who nominate them, and being criticised for decisions for which they may not in fact have been responsible. This confidentiality is not so essential as is that of candidates or those who nominate them, but my judgement is that a great deal of value would be lost if it were jeopardised.

**32.** Just as some people have wrongly argued that because the main honours list is in the name of the Prime Minister it must be 'political', so others believe that in some sense honours can be bought. In this report, therefore, we publish the guidance that currently exists which governs the grant of honours to benefactors. This guidance emphasises that nominations for generous giving should be well supported. The benefactor should normally be expected to have demonstrated a commitment to the relevant bodies receiving funds for over five years. The activities for which funds are given should be meritorious and well received. There would normally be a low-key approach to the giving and the source of the funds should be legitimate. Finally, there should be no risk of criticism to the honours system. It is essential that this guidance is carefully followed to avoid allegations which would cast doubt on the probity of the system.

**33.** There is one other minor aspect of openness which is often raised. At an investiture those honoured receive the ribbon and medal of their order but most people can wear these outward insignia only on rare occasions. In some other countries it is customary to allow recipients to have a small badge which can be worn whenever a person wishes. It seems to me we should allow those who wish to be open and display their honour, to do so. The cost (small) would be borne by the individual.

**34.** Finally, can we improve the process of accountability? I do not believe that this report, and the inquiry by the Public Administration Select Committee should be one-off exercises. The honours system must evolve, and issues of balance and diversity in particular should be more regularly examined than they have been in the past. Equally, if the recommendations in this report are accepted, they should be evaluated and a further, and hopefully shorter, report published. Although this is a matter for Parliament to decide, it would seem to me useful if the Public Administration Select Committee could satisfy itself that the honours system was working effectively in the way it was supposed to be. It could do this by re-examining the honours system every three or five years, when the Main Honours Committee has reported on its stewardship of this central facet of our national life and culture.

## Conclusion

**35.** This summary does not cover in its story all of the recommendations in the main report but they are all brought together in the following section.

**36.** In addition to thanking all my colleagues (civil servants and non-civil servants) inside the honours system, I am grateful to the members of the Honours Scrutiny Committee chaired by Lord Thomson of Monifieth, to Dame Rennie Fritchie (whose help in creating a proportionate appointments process for independent chairs is essential to my recommendations), and to Professor David Cannadine whose scholarship has provided me with a powerful insight into the historical context of our honours system.

**37.** I want to thank Mark Ormerod who has supported me with research, skill and clear analysis in writing this report; Debra Huggins for her hard work in producing the text; and Gay Catto and her staff in the Ceremonial Secretariat of the Cabinet Office.

**38.** Although this is a review undertaken by a serving Permanent Secretary, the views expressed in it are my own. I hope both the fact of publishing this report and the suggestions I have made will assist in considering what decisions for change, and indeed for continuity, should be made.

## Summary of Recommendations

### Transparency

- R1:** A report on the honours system should be published every three to five years.
- R2:** The Public Affairs Select Committee should re-examine the honours system every three or five years, following the report of the Main Honours Committee on its stewardship.
- R3:** The Ceremonial Secretariat's website should be reviewed and expanded.
- R4:** There should be a short explanatory leaflet on the system, in languages appropriate to different parts of the country.
- R5:** The names of the chairs of specialist honours committees should be made public.
- R6:** Once the Main Committee has been reconstituted, its membership should be made public.
- R7:** Nominators should be told of the likely timescale for consideration of their nominee and offered the opportunity of feedback on their candidate when that point has been passed.
- R8:** Long citations should not be published.
- R9:** While the criteria for the award of honours are the correct ones, they should be publicised in a way that allows greater understanding of how the system works.
- R10:** There should be a badge or pin to allow people to display their award in everyday circumstances.

### Independence and governance

- R11:** The current arrangements for recommendations for awards should be reformed rather than replaced with an Honours Commission.
- R12:** Committees should contain a majority of non-Civil Service experts.
- R13:** Committees should have non-Civil Service chairs.
- R14:** The Main Committee should be chaired by the Cabinet Secretary or his nominee and should comprise the chairs of the sub-committees and the Permanent Under-Secretaries at the Foreign and Commonwealth Office and the Ministry of Defence.
- R15:** Chairs and members of expert committees should be appointed from names suggested by relevant bodies and organisations, against criteria aimed at providing expert and diverse independent members and chairs.

**R16:** Appointments to the committees should remain unpaid.

**R17:** These changes should be tested and evaluated over a three to five year period.

**R18:** Appointments of non-civil servants should be for a period of three years, renewable for a further three years with agreement of both sides. Initial periods of appointment should be staggered to allow for annual turnover rather than wholesale change of membership.

**R19:** The remit of the sector committees should be revised as set out in annex 7. To assist on transparency, I have set out in some detail which areas of life would fall to which committees.

**R20:** The Honours Scrutiny Committee should be wound up when the register of political donations covers a full five years (2006) and its work in scrutinising names added by the Prime Minister transferred to a sub-committee of the House of Lords Appointments Commission.

**R21:** The Diplomatic Service and Overseas List and the Defence Services List should be considered together with the Prime Minister's List at the Main Committee before being sent to the Sovereign.

## Diversity and nominations

**R22:** There should be a form sent with the letter offering an award which asks for information on ethnicity, using the census definitions. Statistics should be collected on the same basis for the Defence Services List.

**R23:** The triennial report should explore matters underlying the statistics on the award of honours, and particularly whether there seem to be unwarranted discrepancies.

**R24:** The proportion of awards to State servants overall should decrease to 20% over the next three to five years.

**R25:** Further research is needed on the reasons for the imbalance geographically in public nominations.

**R26:** The suggestions for encouraging greater numbers of nominations should be investigated and pursued.

**R27:** There should be a system of local assessment panels, to consider local nominations and identify suitable nominations for consideration centrally.

**R28:** The three- to five-yearly report process should consider departmental systems and whether nominations are coming through properly from all sectors.

**R29:** The guidance on awards in retirement should be rewritten so that these can be given greater consideration.

**R30:** The guidance on awards to those within five years of a previous award should be rewritten so that these are not so frequently dismissed from consideration.

**R31:** The Main Committee should have a number of awards at its disposal to award to candidates who have made an excellent contribution across a number of fields and might be passed over by the more specialist sectoral committees.

## Background

**39.** Since September 2002 I have had special responsibility for the honours system, on behalf of the Cabinet Secretary. As a result I chair, again on behalf of the Cabinet Secretary, the official Committee charged with responsibility for advice on the structure of the honours system and consideration of all major policy issues – ‘HD Committee’ (Committee on the Grant of Honours, Decorations and Medals). I indicated to the Public Administration Select Committee on 7 July 2003 (HC 642-v Ev 61) that I was reviewing some of the arrangements for the award of honours. In particular, I said that I wanted to look at the membership of assessment committees and to make sure that the balance was right. I also said that I wanted to look at ways in which we might try to encourage more nominations of women candidates, and higher honours at senior levels for women and black and ethnic minority candidates.

**40.** The terms of reference for the review are set out in the Foreword and Summary to this report. The review is limited to what are termed the Orders of Chivalry. I have not looked at gallantry awards nor at or any other military medals. I also have not looked at those Orders of Chivalry for which awards are in the personal gift of the Sovereign<sup>1</sup>. The honours covered by the review are the main ones featured in the New Year and Queen’s Birthday honours lists – the Companion of Honour (CH), the Order of the Bath (GCB, KCB, DCB, CB); the Order of St Michael and St George (GCMG, KCMG, DCMG, CMG); the Order of the British Empire (GBE, KBE, DBE, CBE, OBE, MBE); and Knights Bachelor.

**41.** Annex 1 gives information on these honours, their history and current structure.

**42.** Honours lists are published twice a year, at New Year and on the Sovereign’s official birthday (the middle of June). There are three separate lists from the United Kingdom:

- the Prime Minister’s List of around 1,000 people – for those active in the UK;
- the Diplomatic Service and Overseas List of around 150 people – for members of the Diplomatic Service and for those UK citizens working for UK interests abroad; and
- the Defence Services List of around 200 people – for members of the armed forces.

**43.** It is important to keep in mind that there are these three separate lists, which are compiled quite separately, though published on the same occasion. There is a tendency to assume that the Prime Minister’s List and the systems underpinning it covers all honours. The Ceremonial Secretariat of the Cabinet Office is responsible for managing the compilation of the Prime Minister’s List. The Diplomatic Service and Overseas List is drawn up in the Foreign and Commonwealth Office. Part of the Diplomatic Service and Overseas List contains recommendations for the Order of St Michael and St George. This part is sent to The Queen by the Foreign and Commonwealth Secretary. FCO recommendations in respect of other awards are submitted by the Prime Minister. The Defence Services List (for awards in the Military Division of the Orders of the Bath and the British Empire) is compiled in the Ministry of Defence and sent to the Queen by the Defence Secretary. MoD civilians (as opposed to the armed

<sup>1</sup> These are Order of the Garter, the Order of the Thistle, the Order of Merit, the Royal Victorian Order and the Royal Victorian Chain.

forces) are covered by the Prime Minister's List. So, in effect, The Queen receives three lists of recommendations, though both the Diplomatic Service and Overseas List and the Defence Services List are shown to the Prime Minister before the appropriate submission to the Sovereign.

**44.** The existence of three lists reflects the history of honours. Before the early years of the 20th century, a large proportion of honours were given to State servants, including those in India, the Dominions and British colonies, and to representatives of the armed forces. This changed significantly in 1917 when King George V decided to institute an entirely new Order – the Order of the British Empire – to recognise people from all sections of society. To reflect this, the Order contained not only the levels that existed in the earlier Orders of the Bath and St Michael and St George – Knight Grand Cross, Knight Commander and Commanders – but also two lower levels – Officers and Members – and a Medal, the British Empire Medal<sup>2</sup>.

**45.** The number of honours going to the State service decreased considerably in the 1960s. For the purposes of the honours system, 'State' is defined as members of the Home Civil Service, members of the Diplomatic Service and members of the Armed Forces. It is therefore one subset of a more general category of 'public servants'. Executive Non-Departmental Public Bodies that employ their own staff are not defined as 'State' but advisory NDPBs, employing civil servants, are 'State'. Government Agencies are all State.

**46.** The honours system was further reformed in 1993, under the then Prime Minister, John Major. One of the main criticisms at that time was that the honours system was too generous to the State sector. Among the main outcomes of the 1993 review was that 'awards should not be automatic and follow simply as a result of doing a particular job. Awards should place more emphasis on voluntary service ... awards will be open – on merit – to a wider range of individuals.'<sup>3</sup> This led to a cut of about 10% in the ceiling allocations to posts in all three services and a parallel increase in the awards available to the voluntary sector. So although the proportion of honours for State servants in the Prime Minister's List had already fallen from 38% in 1955 to 20% in 1992, this fell further to 18% by 1997 and to 15% by the Birthday list in 2000.

**47.** The second change in 1993 relevant to this review was the discontinuance of the award of the British Empire Medal. Future candidates at that level were to be awarded the MBE. Thus over half of those whose names appear in the Prime Minister's List are recognised by a single honour, the MBE. In recent lists, the MBE has accounted for 60% of the names.

**48.** The third relevant change was the introduction of a formal system of public nomination.

**49.** Under the current Prime Minister, emphasis has been placed on awarding honours for those working in education; and to awarding higher honours to those who work locally but who act as examples nationally. So certain exemplary headteachers may now receive knighthoods or DBEs (i.e. become Dames), something that was almost unheard of in the public sector before 1997.

**50.** Two other recent reviews are relevant by way of background. The first is a review by Sir Michael Quinlan into the award of knighthoods to the most senior staff in the three services. This produced recommendations, accepted by the Prime Minister in September 1999, for a modest redistribution of the awards across the three services to increase the number available to the Home Civil Service. The second is the series of papers commissioned by Sir Richard Wilson when Cabinet Secretary. Pressure of other business did not allow decisions to be taken on these papers but they have provided material in the context of this current review. The papers were released as evidence to the Public Administration Select Committee for their inquiry into honours.

<sup>2</sup> The Royal Victorian Order, established 21 years earlier, had introduced multiple classes.

<sup>3</sup> Prime Minister's statement on the completion of the review, Hansard, column 453, 4 March 1993.

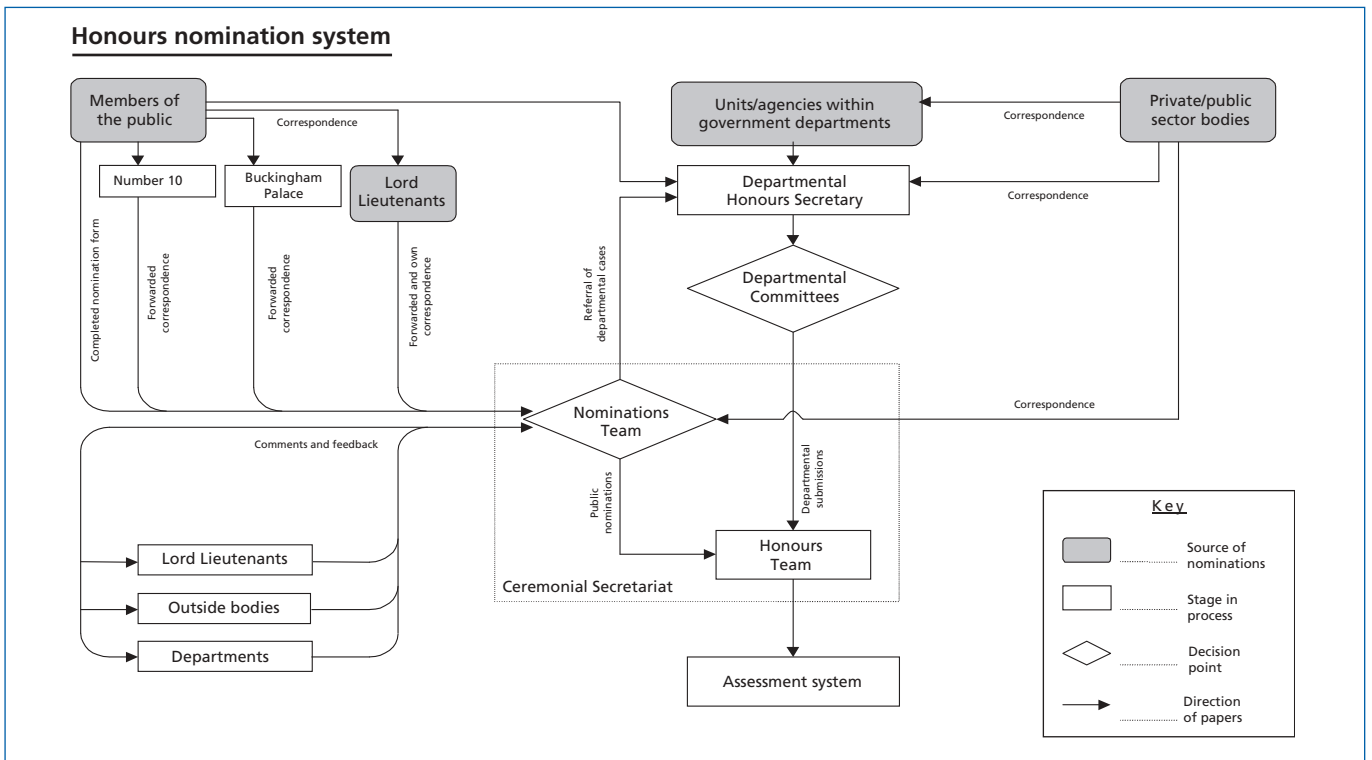
## Justification for an honours system

**51.** The honours system derives from the simple and laudable wish to recognise exceptional service and achievement and to show gratitude publicly. Unlike other awards systems in the UK, it provides distinctive recognition by the State – in our constitution, by the Sovereign, as Head of State. As will be seen in the section on foreign systems below, there are very few countries indeed that do not have some form of state honours system. Although some argue for abolition of the honours system, there is no general pressure for this. Indeed, the high rate of acceptance of the honours themselves (around 98%) suggests that they are highly valued. The value is not only highly prized by the recipients themselves but by their families and friends and sometimes whole communities, who feel vicarious pleasure at the award of an honour or by the fact that their walk of life or part of the country has been recognised. We know this from letters and recorded reactions following the award of honours. Certainly, some argument surrounds the form that the honours system should take but there is general agreement that some form of national honours system should exist so that the country can give a public thank you to those who have demonstrated achievement and exceptional service.



# How are honours awarded?

52. The charts below set out in tabular form the way in which the honours system works. This is then further explained in the paragraphs which follow.





**53.** One of the key features of the honours system – which determines much of the way in which it operates – is adherence to limits on the numbers of awards made, including an overall limit and allocations at different levels and for different sectors of life. Limits are important in order to ensure that discipline remains in the system and honours are not devalued by being given too easily. The number of honours to be awarded is considered every five years, under a process known as Quinquennial Reviews. These reviews consider the system more fundamentally than can be achieved on a list-by-list basis. Indeed, it would be unwise to consider results on a list-by-list basis since the strength of nominations can vary. A longer period gives an opportunity to consider developments over a number of lists and to ensure that they fairly reflect the areas to which honours should be awarded.

**54.** The main result of the Quinquennial Review is a series of allocations, by level of award. The first set of allocations is between the three lists – the Prime Minister’s List, the Diplomatic Service and Overseas List and the Defence Services List. Then within the Prime Minister’s List each committee covering the different sectors of life (described in more detail below) will have an allocation. One effect of this approach is to concentrate minds on who is the really deserving. It also means that there is a competitive element in the system.

**55.** The allocations are for guidance, to ensure that overall limits are not breached. They show a distribution which, if followed, will result in the overall limits being met. However they are not rigid. If one area is undersubscribed and another has quality candidates, it is perfectly possible to ‘transfer’ allocations as long as the overall limits for the quinquennium are not breached. For the Prime Minister’s List, this reallocation is made by the Main Committee and the process is monitored by the Cabinet Office Ceremonial Secretariat.

**56.** If what I say later on about the structuring of the Honours Committees is accepted, these allocations will need to be revised.

## Public nominations

**57.** Before 1993, anyone wanting to nominate somebody for an honour did so by correspondence. The Major review concluded that this was ‘too haphazard’ and that ‘the means of nomination for honours should be more widely known and more open’.<sup>4</sup> A dedicated part of the Ceremonial Secretariat of the Cabinet Office was set up to develop a system based upon a standard nomination form, setting out the type of information needed.

**58.** The initial launch and associated publicity secured a flood of forms to the Unit – some 10,000 in the first year. Ten years on, the Unit has 30,000 ‘live’ nominations in its system with an average of 6,000 new nominations coming in annually. Files on which there has been no new correspondence for five years are removed from the system, thereby reducing the number of live nominations, though the numbers are rising slightly overall.

**59.** Where the public nomination clearly relates to an area covered by a particular government department, the Secretariat considers which department, if any, has the main interest in the nominations e.g. a contribution to health care would be directed to the Department of Health. Once the main department is established, the nomination is passed to them for action. All follow-up correspondence will also be directed to the department for action. On receipt of nominations, the department considers the nominee against other cases arising from official channels. All nominations – whether from the public or from other sources – are fully and carefully considered for inclusion in the honours list.

<sup>4</sup> Prime Minister’s statement to Parliament, 4 March 1993, *Hansard*, column 455.

**60.** It is quite possible that public nominees will not be known to government departments and so departments are under an obligation to validate claims made about the nominee and assess their contribution against others within the same area of activity. To do this, departments turn to sources outside the department, for example Lord Lieutenants, local or regional representatives including Government Offices for the Regions or officials of national organisations, for example the Chief Scout or Chairman of the National Trust.

**61.** Lord Lieutenants are local representatives of the Sovereign and undertake validation of honours nominations as an addition to their other duties. Departments are encouraged to seek the relevant Lord Lieutenant's views on those candidates who have given service to the community at a very local level. The purpose is to seek views on the nominee's standing within the community, alongside others who have made similar contributions.

**62.** In some cases a public nominee's contribution will cover a number of different areas and will fall to no one government department – for example, a nominee might be active in education (school governor), health (friend of a hospital) and voluntary work (the Citizens' Advice Bureau). Such cases are handled centrally by the Ceremonial Secretariat. Advice and views are sought from departments with an interest in various aspects of the nominee's contribution.

**63.** Around 45% of the Prime Minister's List are candidates with public support. Public nominations are also received for those eligible to appear in the FCO and, occasionally, MoD Lists.

## Analysis of public nominations

**64.** As part of this review we have analysed 300 recent nominations received in the Ceremonial Secretariat. (These relate to England only, as nominations for those in Wales, Scotland and Northern Ireland will be dealt with locally.) The information from this review is set out in annex 3. This cannot be considered an exhaustive survey but the indications from the analysis are that:

- the ratio of those being nominated to resident population is broadly in proportion, except for the North West (14% of population against 7% of people being nominated by the public) and the South East (15% of population and to 30% of public nominations);
- the largest proportion of public nominations are for those working in health (18%) and education (11%), 6% of which fail because of the 'out-of-time' rule discussed below (paragraph 197);
- the vast proportion of people being nominated by the public are known to the nominator;
- more than half those doing the nominating are men (60%), with the same proportion of men being nominated (60%); and
- 48% of those nominated are aged 60-80.

**65.** The implications of these indications for improvement of the public nomination system are discussed below (paragraphs 189-195). These statistics also provide a useful insight into perceptions of the honours system and who is tuned into it – particularly the South East – and who it is thought should be receiving honours – those in education and health; those in paid employment as well as in voluntary work; and those at or approaching normal retirement age. Further work is needed, though, to verify these preliminary indications.

## Departmental nomination and procedures

**66.** The remaining candidates are identified by government departments through their own systems for generating names. These are split between 'State' (those working for government departments) and 'non-State' (those from outside the government service). Each department has an honours secretary and the larger ones have an honours unit. Nominations are sought twice a year from within the department and outside. Each part of the department will be expected to review the area – for example, primary school teachers – that it covers and consider whether there are suitable candidates that should be put forward. Nominations are also sought from organisations with which each department has contact. These can be substantial – the Department for Culture, Media and Sport requests nominations from some 230 bodies.

**67.** The departmental honours secretariat then combines names coming from within the department with public nominations (whether passed to it by the Nomination Unit or submitted to the department direct). These are then considered by a departmental honours committee, usually chaired by the Permanent Secretary. The resulting 'departmental list' is submitted via Number 10 to the Ceremonial Secretariat.

**68.** As part of this review a number of departments were asked to provide information on:

- the membership and structure of committees in departments considering nominations for honours;
- the decision process; and
- contact with outside bodies on nominations for honours.

This information is set out at annex 4.

**69.** Nominations for the Diplomatic Service and Overseas List come from within the FCO, from Diplomatic Missions overseas, from other government departments and from members of the general public, both in the UK and overseas. For the Defence Services List, nominations are made by the military (see paragraphs 89-94).

## Ministerial involvement

**70.** The list is submitted to 10 Downing Street on behalf of and with the approval of the Departmental Minister.

## Honours committees

**71.** For the Prime Minister's List, once the nominations have been received in the Ceremonial Secretariat, they are assessed by a series of committees. There are eight Honours Selection Sub-Committees.

*Agriculture, Commerce and Industry (ACI):* this covers agriculture, manufacturing, financial services, retail trade, general business, employment, industry, transport, utilities, tourism, regulatory bodies etc.

*Local Services (LOC):* education, health, local government, law and order, benefactions, service to local communities including heritage and the environment, charitable work, religion etc.

*Maecenas:* art, architecture, dance, drama, humanities, literature and music.

*Media:* journalists on newspapers, magazines, television, radio and cartoonists, news broadcasters, photographers etc.

*Medicine*: medical profession, clinical teaching, medical research, dentists, forensic scientists etc.

*Science and Technology (S&T)*: scientists, researchers, astronomers, economists, psychologists, geographers, technologists etc.

*Sport*: all sports including administrators, coaches, umpires and practitioners.

*State*: civil servants.

**72.** The committees are intended to cover all aspects of national life. They bring together experts, specialists and the heads of the relevant government departments in order to assess the relative eminence, contributions, service and achievements of competing candidates from each of the defined fields. Committee members are appointed for a record of performance and achievement that has earned them the recognition and respect of their peers. In addition, they are appointed for good judgement, integrity and discretion. Members have brought a great deal to the production of successive honours lists, playing a key role in the difficult judgements that have to be made in choosing between competing candidates.

**73.** Civil servants on the committees are expected to act in their personal capacity, not representing their departments or their Ministers. Permanent Secretaries are selected as members of those committees where their departments make a significant number of nominations and they are in a position to speak about the candidates under discussion. The chairman is selected from a department without a strong direct interest in the field. Membership of the committees is confidential, to prevent lobbying and to ensure totally fair advice and assessment.

**74.** Selections made by the sub-committees are referred to the Main Honours Committee, which has, until recently, comprised the chairmen of the sub-committees and other senior permanent secretaries. Three non-civil servants now sit on the Main Committee, however. The Main Committee reviews the work of the sub-committees, reassesses any sensitive or controversial recommendations or omissions and seeks to ensure that the balance between the various sectors is satisfactory. In the light of all this, the chairman of the Main Committee submits a list of recommendations to the Cabinet Secretary.

**75.** The table below sets out the composition of the nine committees at April 2004.

### Awards in 2003

	Total	Male	Female	Age Range	Average Age
Main	10	8	2	52-69	60
State	6	5	1	52-63	59
Media	7	4	3	54-68	61
Sport	9	5	4	48-65	57
Medicine	8	5	3	55-71	61
S&T	9	8	1	58-71	65
ACI	14	12	2	51-70	58
Maecenas	11	8	3	52-75	61
Local Services	14	12	2	52-63	57

The female column is affected by the fact that the Ceremonial Officer is an ex officio member of every committee. Without her, two committees would have no women and three would have just one.

**76.** The 88 seats on the nine committees are filled, by virtue of multiple membership, by 54 members of which 81% are men and one is from the ethnic minorities. The average age of the 54 members is 60, with a range from 48 to 75.

**77.** All nine committees are chaired by civil servants. 48% of members are civil servants but many of them serve on two or more committees (though this is a product of sub-committee chairs being on Main Committee). They occupy 62% places on the nine committees. 73% of civil service members are Permanent Secretaries and 88% are men. The 28 non-civil servants occupy 34 of the 88 places (40%). Four serve on more than one committee.

## Number 10

**78.** The Cabinet Secretary then submits the list to the Prime Minister. The Prime Minister is not bound by the list submitted but has the assurance from the Cabinet Secretary that the names have been considered by those knowledgeable in the relevant field. The Prime Minister can take names off the list but any names he adds that have not been put forward by the Cabinet Secretary must be submitted to the Honours Scrutiny Committee.

**79.** Once the final list is agreed and The Queen's informal approval obtained, the honours section at 10 Downing Street send sounding letters to all those on it asking if they are content for their names to be put forward to The Queen.

### Honours Scrutiny Committee

**80.** In addition to the recommendations made through the official channels, the Prime Minister may also make his own recommendations for honours, for example for Parliamentary service. The present Prime Minister has decided not to make recommendations for political services alone, but is willing to submit a few candidates put forward by other party leaders for political *and* public service. Recommendations are collated by the honours section at 10 Downing Street in consultation with Opposition parties. These are then considered by the Honours Scrutiny Committee (HSC).

**81.** The committee was instituted following recommendations by the Royal Commission on Honours set up in 1922 (following the Lloyd George scandal about the sale of honours). The current members are Baroness Dean, Lord Hurd and Lord Thomson of Monifieth. Like all recent past members, they are Privy Counsellors and they are drawn from the three main political parties. The Ceremonial Officer is the committee's secretary.

**82.** In the case of honours for political and public services, the committee receives from Number 10 the names, together with their biographical details, the name and address of the original proposer, an outline of the services performed and the reasons for the recommendation. They also receive a statement from the Whip of the party concerned certifying that no payment or expectation of payment to any party or political fund in money or money's-worth is directly or indirectly associated with the recommendation.

**83.** Should the Prime Minister add other (non-political) names to those submitted through the official machinery, these too are referred to the committee, along with similar background information and a certificate from the Government Whip.

**84.** The duty of the committee is to scrutinise any recommendations put forward by the Prime Minister and to decide if there is anything in the past history or character of the individual which renders him or her unsuitable for an award. They do not, however, comment on the *merits* of one candidate as compared with another. They are concerned only with propriety. The committee is required to report to the Prime Minister if the past history or general character of a person renders him unsuitable to be recommended. The committee can make such inquiries as it thinks fit to see that those nominated are fit and proper persons, taking into account their past history or general character.

**85.** Throughout its existence, the committee has followed the approach to political donations taken by the Royal Commission that recommended its creation. A donation to a political party should not disqualify the donor from receiving an honour – so long as the candidate's merits justified the award irrespective of the donation.

**86.** Since 2001 the committee has also scrutinised all candidates who are likely to be recommended for awards at knight, dame or CH to see whether there is any possibility that any recommendation was connected with a donation or donations to a political party. For these candidates, who have come through the normal assessment and selection process, propriety is not an issue: the committee concerns itself only with political donations.

## Diplomatic Service and Overseas List

**87.** The Diplomatic Service and Overseas List is compiled under the chairmanship of the Permanent Under Secretary at the Foreign and Commonwealth Office. It is shown to the Prime Minister but appointments to the Order of St Michael and St George are submitted to the Sovereign by the Foreign and Commonwealth Secretary. Other FCO nominations (for CH, Knights Bachelor, the Orders of the Bath and the British Empire) are submitted to the Queen by the Prime Minister.

**88.** Nominations come in from posts abroad, other government departments, FCO departments and outside organisations. Nominations received from the UK are sent to posts abroad for comment, where this is relevant. Nominations sometimes come from the public, usually via the Cabinet Office. The resultant information is put together and sent to awards committees in the FCO – for example, a committee considering awards at O and M. These committees then send their recommendations to the final committee, chaired by the Permanent Under-Secretary. This committee comprises senior staff at the FCO and two diversity representatives. The head of the Cabinet Office Ceremonial Secretariat is also a member. Thought is being given to having someone from outside the government service attending as well.

**89.** The committee considers nominations for both State and non-State awards. State awards cover the Diplomatic Service and other government agencies. Non-State awards will be recommended for UK citizens for achievement or exceptional service abroad, and for those resident in the UK, but whose work is in the international field. A separate FCO committee considers honorary awards – for non-UK citizens.

## Honorary awards

**90.** Honorary awards can be made to non-UK citizens. These can be made in any Order and at any level. The position on whether an award should be honorary or substantive is set out below.

- UK citizens receive substantive awards.
- Dual nationals (one of which is UK) resident in the UK receive substantive awards – the government of the other country is informed of the award by the Foreign and Commonwealth Office, unless the government has indicated that it does not need to be notified.
- Dual nationals (one of which is UK) not resident in the UK receive substantive awards but the government of the other country is asked to confirm that it has no objection to the award (unless it does not require notification, as above).
- Nationals of Commonwealth countries of which the Sovereign is Head of State receive substantive awards but advance clearance is sought from the government of that country.



- Nationals of Commonwealth countries of which the Sovereign is not Head of State may be considered for honorary awards.
- Nationals of non-Commonwealth countries may also be considered for honorary awards.

## Defence Services List

**91.** For the Defence Services List, biannual calling notices from the Defence Services Secretary invite the Services to submit honours recommendations. Recommendations are raised at unit level with staff seeking advice as necessary from the chain of command. Recommendations are then forwarded up the chain of command.

**92.** Screening boards look at the nominations and make recommendations in the form of individual scoring of each citation by board member and their being placed in an order of priority regardless of rank, gender or ethnic background. The process of recommendations for higher honours differs within the three Services and scope for rationalisation has been identified.

**93.** The various nominating committees then feed into each of the three single Service Committees. The three lists from each of the three Services are collated before going to the Defence Secretary. Again, it is shown to the Prime Minister but submitted formally to the Palace by the Defence Secretary.

## Commonwealth lists

**94.** Currently 12 Commonwealth countries of which The Queen is Head of State use the British honours system. The Heads of Government of these countries make recommendations for awards to the Sovereign. These awards are subject to allocations.

## Refusals

**95.** Generally where an honour has been refused the person concerned will not be recommended for the same or a higher honour within five years of refusing. If someone who has refused an award is subsequently recommended for a higher level, full justification needs to be given for the higher honour, with reasons why it is not thought that this will also be refused. Around 2% of the 1,000 people recommended on each list refuse the award they are offered. People do not have to give a reason for not accepting an award but some do.

**96.** An analysis of recent refusals was undertaken as part of this review. Statistics on overall refusals and refusals by level of award are attached in the statistical annexes. These show an average annual refusal rate of around 2%. The majority (60%) did not give reasons for refusal. The most frequent reasons amongst those that did were: unwillingness to have a title/award attached to their name; concern about the perception and reaction from those in the community they serve; and security (in Northern Ireland and the defence services).

## The Sovereign

**97.** When all the acceptances are received, the formal submission of recommendations is made to the Sovereign.

## Announcement

**98.** The official announcement of all honours appointments and awards is made in the *London Gazette*. Honours lists are published in full by *The Times* and the *Daily Telegraph*. Other newspapers publish the well-known names and highlight stories of general interest. The local press concentrates on people living in their areas. Ceremonial Secretariat provides No 10 with a press brief on candidates at MBE level. People are selected from all regions and those with interesting and unusual work either paid or unpaid are picked out. This allows the local press to try to contact the recipients for a story, if they wish.

## Investiture

**99.** Following acceptance of an honour, investiture is arranged at Buckingham Palace. One investiture takes place annually at Holyrood House in Edinburgh. Investitures have also taken place in Cardiff. Those who would prefer to accept the honour more locally can opt to receive it from the Lord Lieutenant. This is usually for reasons of health. Recipients of honours living overseas can choose to have their presentation by Her Majesty's Representative (for example, HM Ambassador or Governor General).

**100.** There are 25 investitures a year. Honours are presented by The Queen or – for around a third of investitures – on her behalf, by the Prince of Wales. Just over 100 awards are presented at each investiture. As each person receiving an award is allowed three guests, some 400 people attend these ceremonies. The investiture ceremony is an important part of the honours process, representing the direct link between the Head of State and the recipient being honoured by his or her country. It is an event highly treasured by all those taking part and an opportunity for friends and families to share the honour with those receiving the award.

## Criteria for the award of honours

### Merit

**101.** The overriding principle is that awards should be made on merit. Merit for honours is defined as:

achievement  
exceptional service.

**102.** Specific attention is paid to people who:

- have changed things, with an emphasis on practical achievement;
- have delivered in a way that has brought distinction to British life and enhanced the UK's reputation in the area or activity concerned or which has contributed in a distinctive way to improving the lot of those less able to help themselves;
- are examples of the best sustained and selfless voluntary service;
- have demonstrated innovation and entrepreneurship which is delivering results;
- carry the respect of their peers and are role models in their field; and
- have shown sustained achievement against the odds which has required moral courage in making tough choices and hard applications.

In addition to the above guidance, other relevant factors in decision making are:

### Timing

**103.** Honours may be delayed or not made because the person has not had sufficient service; or the reason for giving the honour is now too far in the past; or the person is still on the way up; or an honour has been given very recently.

**104.** Although recommendations for awards are very often put forward for people approaching retirement, honours are available to people at all stages of their careers, for example, for State nominees, those making outstanding or enduring contributions to policy development and implementation. These awards should be, as far as possible, linked to or made soon after specific achievements.

**105.** The normal convention is that honours should be given while the individual is still performing the service for which they were recommended and not as an afterthought. If this is not possible, because of sudden retirement due to ill health or because the person concerned has stepped down from a post earlier than expected, an award could be made up to a year after retirement but would not normally be

considered later than this. For public service candidates, where retirement dates are known in advance, recommendations may be made in the list immediately following retirement but the aim is that they should be honoured while they are still serving. Exceptions can be made, for example in the arts or where there is unlikely to be a fixed retirement date. Nevertheless an award more than six months after retirement would be unusual. I comment on this at paragraph 197.

**106.** Concern to ensure that the list is not unduly unbalanced by geography, by sector of activity, by gender or by race affects the decision-making process. The intention is that the honours lists should be as representative as possible of outstanding service and achievements across the UK, in the public, private and voluntary sectors and that bunching of awards in a particular field, activity, geographical area or age group should be avoided.

**107.** The internal guidance on the award of honours makes clear that equal opportunities procedures should be scrupulously applied in the selection of candidates. Women, people with disabilities, and black and minority ethnic (BME) candidates should be given equal consideration, alongside other candidates. Efforts are made to ensure that women and BME candidates receive active consideration at the higher levels, where the shortfall is noticeable.

### Probity of recipients

**108.** Before making a recommendation, enquiries are made to ensure that there is nothing in the individual's character that would make them unfit to receive an honour. For example, a past criminal conviction or a civil judgement reflecting on the probity of the individual would be taken into account. These incidents may not prevent an award being made (particularly where the incident occurred some time ago) but the circumstances must be explained to those considering the nomination. No inquiry is made into political allegiance or views.

### Benefactions

**109.** No honours should be awarded as a result of financial donations to political parties. In addition there is a stated policy on benefactions generally, since there are sometimes accusations that these are a way of 'buying' honours. This policy is set out at annex 5.

### Multiple honours

**110.** If someone who has already been honoured has made a significant additional contribution deemed worthy of a further award, he or she would not normally be recommended until an interval of five years had elapsed since the first award. There are occasional exceptions to this, but the case must be very strong to succeed. For example an industrialist honoured with a CBE would not in general be considered for appointment as knight bachelor until five years later and only after significant further achievement to justify consideration at a higher level. It is not desirable to give two honours at broadly the same level to the same person. Only exceptionally would it be seen as appropriate to recommend an existing knight bachelor for a KBE or a senior civil servant who has a CBE/CMG for a CB.

### Employment in international organisations

**111.** Unless honoured before taking up a post, employees of international organisations which involve national interests are only considered after retirement. People in this position should be seen to be above national concerns and impartial and should therefore not receive honours while in post. If considered worthy of an honour, British nationals who serve in international organisations, including Commonwealth organisations, would usually be honoured in the list following retirement.

## Level of award

**112.** In addition to criteria for the award of honours, there are also criteria for the level of award.

*Knighthood and above:* Pre-eminent contribution in any field, usually, but not exclusively, at national level, or in a capacity which will be recognised by peer groups as inspirational and significant nationally, and which demonstrates sustained commitment and/or public service.

*CBE:* A prominent national role of a lesser degree, or a conspicuous leading role in regional affairs or the public service; or making a highly distinguished, innovative contribution to his or her area of activity.

*OBE:* A distinguished regional or county-wide role in any field, including public service and distinguished practitioners (in the arts field, authors and actors, for example) known nationally.

*MBE:* Service in and to the community of a responsible kind (including, for example, as a committed and effective leader of a local voluntary organisation; community worker; inspiring public service practitioner; local councillor etc.) which is outstanding in its field; or very local hands-on service (as school crossing warden, fund raiser, parish councillor etc.) which stands out as an example to others. In both cases awards would often illuminate areas of dedicated service which merit public recognition.

**113.** In the disciplined services and other hierarchical organisations there tends to be a link between position in the organisation and level of honour. This is not an inviolable rule and there have been variations from the norm in the past but it is not a surprising consequence of matching a hierarchical structure of honours with a hierarchical structure of responsibility. It is worthwhile having some leeway within the system to signify some measure of differentiation but I believe it would otherwise produce perverse results to do anything more significant than this.

## International comparisons

**114.** Attached at annex 2 is a table of awards in other countries. Information was requested from foreign embassies on: details of awards made; the principles under which awards were made; who received awards; how recipients were identified; and how often awards were made. Information was also gathered from sources on the Internet.

**115.** As will be seen, there is a considerable variety of awards in other countries, including some with names at least as exotic as the Bath and the Garter. Other countries also tend to have orders with different levels.

## Other award schemes

**116.** As part of this review, there has been some research into other awards schemes. These are:

### Nobel prize

**117.** The Nobel prize is not open to public nomination. All nominees have to be put up by people competent to make such nominations. On the basis of the information available, it appears that the selection committee members for each Nobel laureate, or category, are completely anonymous. The Nobel Committee starts its preparatory work on 1 February and submits the ensuing recommendations in the early autumn of the same year to the respective prize-awarding bodies which have the sole right to decide. Even a unanimous committee recommendation can be overruled by the adjudicating Prize-Awarding Institutions. The decisions are final and without appeal. The deliberations as well as the votes are kept secret. Only the results are made public.

**118.** An American award for journalism of various types. Nominations can be put forward by members of the public for all categories. The names of the members of the awarding committee are made public when the results are announced.

**119.** The awards are the culmination of a year-long process that begins early in the year with the appointment of 102 distinguished judges who serve on the 20 separate juries and are asked to make three nominations in each of the 21 categories. The jury members, working intensively for three days, examine every entry before making their nominations. The final act of the annual competition is enacted in early April when the board assembles. In prior weeks the board has read the texts etc. Awards are usually made by a majority vote. The announcement lists the nominees as well as the winner. The announcement also lists the board members and the names of the jurors (which have previously been kept confidential, to avoid lobbying).

### Queen's Award for Enterprise

**120.** The Queen's Awards for Enterprise are divided into three categories, with a committee for each. Nominations are made by the people hoping to win the award. All nominations must get the go-ahead from all three committees before progressing further. The committees are anonymous. Shortlisted applicants are forwarded to the Prime Minister's Advisory Committee.

### Royal Humane Society

**121.** The Royal Humane Society makes awards for bravery. Nominations are considered every four to eight weeks. The committees are anonymous, and study cases that come in from the general public who have witnessed acts of bravery. The nominee does not necessarily know that they have been nominated.

### Pride of Britain awards

**122.** These awards also honour everyday people for bravery and heroism. Nominations can be made by anyone. The awards are given once a year and are judged by a panel of celebrities, whose names are disclosed.

### Olivier awards

**123.** The 'Oliviers' honour theatre, opera and dance. They are held once a year and are judged by a panel of theatre industry insiders and members of the theatregoing public. The public panellists apply to be selected. The names of the panels are not revealed.

### Sony Radio Academy awards

**124.** The Sony Radio Academy Awards have a 21-year history and cover a wide range of topics in the broadcasting field. Nominations are open to the public and the selection committee is not anonymous. Nominations are made by those hoping to win the award. Payment of a fee for entry of £94 is required.

### Conclusion

**125.** It is difficult to draw conclusions from these comparisons, except to say that there are clearly differences in ways of dealing with awards, that these vary according to the sectors and the type of award involved and there is a degree of anonymity in many.

**126.** Common to all the above is that they are dealing with much smaller numbers than a national honours system; and that they relate to a particular sector of people. This naturally affects systems to assess the giving of awards.

**127.** One element that has a substantial consequence is where the person knows they are nominated and where they do not. It is much easier to ensure that people would be willing to accept the award and to obtain details for the citation if the person concerned is a party to the enterprise. But in my view, part of the attraction of the current honours system is the element of surprise in receiving the offer of an award. In addition, given the lengthy timescales involved in the award of national honours, I do not believe that it would be fair to nominees for them to be aware of their nomination.



## Who gets honours?

**128.** In the statistical annexes to this review, I have set out data on:

Awards in the Prime Minister's List, Diplomatic Service and Overseas List and Defence Services List in 2003.

For the Prime Minister's List

Awards by committee nomination over past five years

Awards by region over past five years

Awards with public support over past five years

Number of awards to women recipients

Percentage of honours to women

Proportion of awards to members of ethnic minorities

The proportion of awards to minority ethnic groups as against the proportion of minority ethnic groups in the population

The proportion of awards to women as against the proportion of women in the population

The age distribution of the UK population and honours awards

The proportion of awards to volunteers as against the proportion of volunteers in the population

State and non-State awards over the past 50 years

Percentage of State awards over past 50 years

Percentage of State awards by level over past 50 years

Refusals over past 5 years

## Reforms to the current system

**129.** In this section I set out my views on how the system should and should not be reformed.

### MAKING THE SYSTEM MORE UNDERSTANDABLE AND UNDERSTOOD

**130.** There is a line of argument that the system for awarding honours needs to be as secret as possible, so that none of the mystery is removed. I am firmly of the view that there are aspects of the system – as with any system dealing with people – where confidentiality needs to be respected completely. It is hurtful and embarrassing to the people concerned, and serves no useful purpose, to break those confidences.

**131.** However, I do believe that it would do no harm to reveal more about how the system works in a general sense, including statistics on awards made. Maintaining secrecy on some aspects at the moment easily makes those ‘in the know’ sound defensive. It breeds suspicion of how the system operates. It also sits ill with modern thinking on open government.

**132.** Having said that, there does seem to be an assumption that the system must be much more secret than it in fact is. There is something about honours that encourages people to assume that nothing is known about how they are awarded or on what criteria. In fact, there is information available about the workings of the nominations and honours generally, for example the published written evidence of the head of the Ceremonial Secretariat to the Committee on Standards in Public Life and, for MPs, in the Standard Note on honours. Nevertheless, there is clearly still a need for more information and possibly structural reforms that will help to remove this feeling that the system is complex and impossible to understand.

**133.** The main aspects that seem to cause the feeling that the system is opaque are:

how honours are awarded;

why the people who get them have got them; and

why there are a series of different Orders and awards, and what the difference is between them all.

I hope that this report may go some way to helping with the first – though I have to recognise that the readership might be limited. Nevertheless I believe it is important that there should be a published source of information from the Government, regularly updated, on the honours system. This need not be an annual report but should be sufficiently frequent – say every three to five years – for it to remain up to date and to provide information and statistics on how the system is operating and how people interested in making nominations can do so. It should also contain explanations of the different Orders and awards.

**Recommendation: A report on the honours system should be published every three to five years.**

134. This report might be something on which the Public Administration Select Committee would wish to take evidence, thus ensuring continued transparency.

**Recommendation: The Public Administration Select Committee should re-examine the honours system every three or five years, following the report of the Main Honours Committee on its stewardship.**

135. Other sources of information need to be reviewed. This report will be placed on the Ceremonial Secretariat's website but the website itself needs revising so that the process for the award of honours is much clearer and the site is more inviting. Work needs to be done with search engines so that the site comes more prominently to the fore on a general search for UK honours.

**Recommendation: The Ceremonial Secretariat's website should be reviewed and expanded.**

136. I shall cover improvements to the process of gathering nominations in a later section but an explanatory leaflet, in languages used in different areas would be an elementary step towards improving understanding of the system.

**Recommendation: There should be a short explanatory leaflet on the system, in languages appropriate to different parts of the country.**

137. As well as general information on the system, there are particular aspects of it on which I believe that we could be more open. The names of the honours committees are in the public domain but the names of those on the committees are not. Confidentiality has been maintained in order not to expose those on committees to lobbying, questioning and complaint. The majority of those non-civil servants currently on committees would prefer to remain anonymous for this reason. They are unpaid and provide their views as a public service. I deal with the committees more fully in the section on governance below. So far as transparency is concerned, I believe that the reason for anonymity of membership is sufficiently strong for this to continue. But the chairs of the committees are in a different position and I believe that it would help to remove some of the concern over the secrecy of the system if the names of the chairs of these committees were made public.

**Recommendation: The names of the chairs of specialist honours committees should be made public.**

138. Similarly I believe that the position of those on the Main Honours Committee is different from those on the honours sub-committees, since it is the Main Committee that puts the final recommendations to the Cabinet Secretary. To improve openness and transparency I recommend that the names of those on Main Committee should be made public, but only once the committee has been revised in accordance with my recommendations below. This is because there are current members of Main Committee who have accepted appointment on the basis – indeed the requirement – that their membership remain confidential. It would be fairer to allow the new Main Committee to be constituted before publishing its membership, though the name of the chair should remain in the public domain.

**Recommendation: Once the Main Committee has been reconstituted, its membership should be made public.**

**139.** One of the complaints in the area of transparency is that it is difficult to find out the stage that a particular nomination has reached; and that there is insufficient feedback to nominators about why their nomination has been unsuccessful. This applies to departmental nominations as well as those from the public.

**140.** The difficulty in providing information on both these points is that nominations are not treated as nominations for only one particular list. In order to give the individuals concerned a fair opportunity, their nominations can be postponed for re-consideration at later lists, for example if further information is sought or if there is no expected urgency. This is really for the nominee's benefit but to the nominator it can seem that the nomination has disappeared without trace; or, without feedback, that the decisions are difficult to understand and interpret.

**141.** I can understand the reasons why those administering the system do not want to provide some form of report on the nominations. The increase in administrative burden would be considerable and in some cases it would be difficult to provide anything constructive by way of feedback. But I do think that it is unsatisfactory that nominators, particularly those from outside government departments, are not told anything about the progress of those they have nominated. It would be prohibitively expensive and a disproportionate use of resources for all nominators to be sent a letter after each round about their candidates. On a rough calculation, for some 24,000 live nominations, this would require an additional 20 members of staff, as enquiries would need to be made from departments of the status of individual nominations. I do think it would be possible, though, for nominators to be given, when their nomination is acknowledged, an indication of the likely timescale for consideration and an offer of feedback on their candidate if they contact the Ceremonial Secretariat when that point has been passed. There could be a dedicated public information phone line to assist with this.

**Recommendation: Nominators should be told of the likely timescale for consideration of their nominee and offered the opportunity of feedback on their candidate when that point has been passed.**

**142.** Some information is made available about why most honours are awarded. This is provided in the 'short citation' in the honours list – for example, 'for services to education'. Sometimes, for security reasons, no information is given. Little information is given generally on State servants. As has been said above, the Ceremonial Secretariat produces some information for the local press on awards in the various areas of the country, which sets out the circumstances more generally.

**143.** Decisions on whether an honour should be recommended are made on the basis of (long) citations. These cover about half a page and set out the justification for the award. These remain confidential to the system and are not shown to the person receiving the award. The letter asking whether the award would be accepted does, however, set out the terms of the short citation and invites comments and corrections.

**144.** It could be argued that it would make the system more transparent if the long citation were published; or, failing that, that the person receiving the award should be allowed to see it and to decide whether it should be made public. Given the numbers involved, publication on the Internet would seem the most efficient method.

**145.** It is one of the central tenets of the system that the person being considered for an award should not be approached before a decision to offer an award is made. Publication of the long citation would need clearance by the recipient and the period between the letters going out asking whether the award would be accepted and the finalisation of the list is simply too short for this to be completed satisfactorily. Publication of the information without the consent – or the input – of the person concerned seems unwise since people are likely to have views on such personal information. Though this consent could be obtained in the period after the list is published, the obvious time for publication

is when the award is announced, not several months after. If some people, as seems likely (for reasons of modesty if nothing else), would prefer not to have the long citation published, there could be undesirable speculation on the reasons. Finally, there is the confidence of the nominator to be considered and the information that they have provided, particularly security related information. For these reasons I do not believe that the long citations should be made public.

**Recommendation: Long citations should not be published.**

**146.** Finally there is the range of honours available. I accept that these can be confusing to those who do not come across them often. It would certainly be simpler to have a single award, though this would probably have varying grades. However I do believe that the essential thrust of reform should be to the system by which awards are made, not the awards themselves. The Orders and awards in this country are part of its rich history and, in my view, that more than outweighs some effort in understanding them. My recommendations for transparency above should assist.

**147.** The criteria for the award of honours are not well understood and more should be done to publicise them in a simple way. But I believe that the criteria set out above are the right ones and should remain the basis for the award of honours.

**Recommendation: While the criteria for the award of honours are the correct ones, they should be publicised in a way that allows greater understanding of how the system works.**

**148.** One reform that would help transparency is a small change but one significant to visibility of honours. In some other countries recipients of honours are allowed to wear some form of badge, brooch or ribbon on their everyday clothes. This is because, as in this country, the majority of civilians who are honoured rarely, if ever, attend the sort of function at which the insignia of their Order can be properly worn. When the idea of adopting such a practice here has been raised in the past there have been some concerns that such an outward show was in some way vulgar. I do not agree with this view. I believe that it is important that people who wish to take pride in their achievement should be allowed to do so. There would be no compulsion to wear a badge or pin for the relevant award, but I recommend that such a decoration, discreetly designed, should be available for purchase by the recipient, for ordinary every day use.

**Recommendation: There should be a badge or pin to allow people to display their award in everyday circumstances.**

## Independence and governance

**149.** It should be clear from the description of the system above that the governance of the honours system is closely associated with the Civil Service and with the Prime Minister, the Foreign and Commonwealth Secretary and the Defence Secretary. This has inevitably led to suspicions that the system is politicised, or in some way being operated to the advantage of those running it.

**150.** The historical and constitutional background to the current arrangements is also clear. The Sovereign, as Head of State, awards national honours. Traditionally, honours have been awarded for Crown service. The Sovereign acts on the advice of her Prime Minister and the Civil Service supports the Prime Minister in the exercise of his responsibilities. It is therefore not surprising that the system has developed as one in which the Civil Service plays a major part; in which Ministers are also involved; and in which Crown service features significantly in awards. The question is whether the time has come to change these arrangements, because of perceived or actual unfairness or impropriety.

**151.** There is no doubt a variety of radical ways by which honours could be awarded – some form of national vote, for example. But the main proposal, and one adopted in some other countries, is for a non-governmental national body – an Honours Commission – to decide on the recommendations. I do not believe that it is either necessary or desirable to move to the establishment of such a body.

**152.** I start from the premise that it is important to have some form of accountability for the award of honours. It would be unfair to expose the Sovereign to the personal criticism that might arise if there were no body or person taking responsibility on her behalf for the identification of such a large number of recipients across the country. An independent body could take that responsibility but it is difficult to see to whom – apart from the Sovereign herself – it would be properly accountable if there were some general dissatisfaction with the system or the awards being made. It could be argued that such a body should be accountable to Parliament but this would enter the difficult territory of the accountability to Parliament of matters done under the royal prerogative (of which the award of honours is one).

**153.** Leaving aside the issue of accountability, there is also the question of whether such a body would necessarily be an automatic improvement. The position is not the same as for bodies such as the House of Lords Appointments Commission and the proposed Judicial Appointments Commission since these deal with paid appointments. In terms of membership, an Honours Commission is unlikely to be much different from the reconstituted Main Committee that I recommend below. It might have different methods for collecting names but I believe that we can institute at least the most obvious of these within the current system. It would be a serious loss if the current extensive network of collecting nominations through departments were abandoned, with the consequential dislocation and expense involved in setting up new systems.

**154.** Finally, I do not support the view that the system's current contact with the Civil Service and Ministers means that it is compromised. So far as the Civil Service is concerned, it has to be remembered that – uniquely in some respects – the vast majority of the country is eligible for an honour. So all walks of life and geographical parts of the nation are under consideration. Whether anyone else is in a better position to be 'independent' than the Civil Service in considering merit is debatable. Everyone will have 'baggage' of one form or another. Indeed, some might argue that the

Civil Service, with its traditions of impartiality and objectivity, is better placed than most to perform this task. I do not argue that the Civil Service alone should administer the system. Indeed, I make recommendations below for greater non-Civil Service involvement. But equally I do not subscribe to the view that it is improper in some way for the Civil Service to be involved.

**155.** For all these reasons, and because I do not believe that the current system is in need of such radical change, I do not support the proposal for an Honours Commission.

**Recommendation: The current arrangements for recommendations for awards should be reformed rather than replaced with an Honours Commission.**

**156.** I do believe, however, that steps should be taken to adopt some of the perceived benefits of such a Commission. The first of these is to introduce more outside experts onto the committees making recommendations on the Prime Minister's List. There have been non-civil servants on some committees for a number of years. All committees now have them. They provide expert advice on the areas under consideration and have proved very valuable to the system as a whole. In order to address the perception that the Civil Service dominates the system, I believe that both for this and the usefulness of their advice, non-Civil Service experts should form a majority of the members.

**Recommendation: Committees should contain a majority of non-Civil Service experts.**

**157.** The objective of my recommended changes is to put into the system greater independence of leadership to reinforce confidence in the system, while avoiding unnecessary extra cost. This can be achieved in an economic and evolutionary way by appointing independent chairs to the committees. Chairs would need to be people who were used to working with experts and to balancing views and working to criteria. It would be preferable if chairs were not experts in the field in question but appointed to hold the ring and balance the range of expert views.

**Recommendation: Committees should have non-Civil Service chairs.**

**158.** So far as Main Committee is concerned, I envisage the chairs of the sub-committees remaining members of Main Committee. They would be supplemented by the Permanent Under-Secretaries at the Foreign and Commonwealth Office and at the Ministry of Defence (see paragraphs 170-172) on consideration of all lists by Main Committee). The chair, as I have said, would remain the Cabinet Secretary or his nominee. It would be open to appoint a nominee from outside the Civil Service if the Cabinet Secretary wished, though in these circumstances he should have a representative for the Home Civil Service on the committee.

**Recommendation: The Main Committee should be chaired by the Cabinet Secretary or his nominee and should comprise the chairs of the sub-committees and the Permanent Under-Secretaries at the Foreign and Commonwealth Office and the Ministry of Defence.**

**159.** I have discussed with the Commissioner for Public Appointments the requirements for appointments under this regime. These should be proportionate to the committee work involved – for members, up to two hours of meeting twice a year, with some reading beforehand. The commitment for chairs would be for meetings four times a year, with some preparation beforehand.

**160.** It would be acceptable to the Commissioner for the chairs and members of the expert committees to be appointed by inviting bodies and organisations relevant to the committee concerned to put forward names. The names would not be restricted to members of those bodies or organisations but could be any person considered expert in that particular field. People would be able to put themselves forward and vacancies could be advertised on the website.

**161.** Chairs and members would be selected from written information, against criteria of (for members) expert knowledge of as much of the field covered by the committee as possible; ability to give a balanced view, keep an open mind and offer dispassionate advice; an understanding of the diverse nature of British society; and discretion. For chairmen, the criteria would need to be an ability to chair meetings of experts; to communicate effectively; sound judgement; an ability to work to criteria in the assessment of candidates; and, again, an understanding of the diverse nature of British society and discretion. Selection would be by a panel chaired by a non-Civil Service member of one of the committees; a Permanent Secretary; and an Independent Assessor nominated by the Office of the Commissioner for Public Appointments. I would hope that this system would ensure that the composition of the committees would become more diverse.

**Recommendation: Chairs and members of expert committees should appointed from names suggested by relevant bodies and organisations, against criteria aimed at providing expert and diverse independent members and chairs.**

**162.** Members of the committees are currently not paid for their work, but travelling expenses may be claimed. It has been put to me that this is a diversity issue, in that it restricts membership to those who can afford the time to attend. The work of the committees is not excessively time-consuming (no more than two days a year, including preparation time) and I have always felt that their work is something that people would feel was important enough to wish to participate in unpaid. I am not convinced that it is necessary to make payments for this work.

**Recommendation: Appointments to the committees should remain unpaid.**

**163.** I suggest this approach is taken and then given a chance to be tested and evaluated over a three- to five-year period.

**Recommendation: The changes on appointments should be tested and evaluated over a three- to five-year period.**

**163.** It is also important for the value that non-civil servants bring to these committees that their contribution remains fresh. At the moment there is no limit placed on the length of time that people serve on committees.

**Recommendation: Appointments of non-civil servants should be for a period of three years, renewable for a further three years with agreement of both sides. Initial periods of appointment should be staggered to allow for annual turn over rather than a wholesale change of membership.**

**165.** As part of the review, I have considered the current remits of the committees under the Main Committee that considers the Prime Minister's List. At present there are eight committees:

- Agriculture, Commerce and Industry
- Sport
- Medicine
- Science and Technology
- Local Services
- Media
- Maecenas (culture)
- State (Home Civil Service)



Each committee aims to take a discrete sector of national life, though there are inevitably some nominees who do not fall neatly into any category or span several.

**166.** The current committees are long-standing and their remits are familiar to those within the system. However I believe the time has come for some of their remits to be revised. In particular, the remit of the Local Services Committee is very broad covering, amongst other things, law and order, health, education and local government. An obvious and practical change would be to establish separate committees on Health, incorporating Medicine and the Health part of Local Services; and Education, incorporating scholarship from the current Maecenas and the education part of Local Services. A renaming of the revised Local Services committee and the Maecenas Committee to become the Community, Voluntary and Local Service Committee and the Arts Committee respectively would help with transparency. Similarly, the Agriculture, Commerce and Industry Committee's remit is essentially about the furtherance of the economy and should be renamed the Economy Committee. The current separate Media Committee sits oddly with the rest and should be subsumed into the Arts Committee.

**167.** I have considered whether the State Committee (covering the Home Civil Service) should continue to exist, or whether State servants should be distributed across the sector committees, in accordance with their areas of work. Given that State servants can work in numerous areas during their careers I do not believe that this would be fair. Under my proposals the committee dealing with State servants would be chaired by a non-civil servant and this should help address the criticism that it is not right for the State sector to be deciding on awards to itself.

**Recommendation: The remit of the sector committees should be revised as set out at annex 7. To assist with transparency, I have set out in some detail which areas of life would fall to which committees.**

## Honours Scrutiny Committee

**168.** I set out above the role of the Honours Scrutiny Committee. Several developments have prompted a rethinking of this committee. First, the establishment of the House of Lords Appointments Commission has removed the role of the Scrutiny Committee in considering nominations for peerages. Second, two of the three members of the committee are also members of the House of Lords Appointments Commission. Third, in 2006 the Electoral Commission will have public information on political donations covering five years and so the committee's role in inquiring into donations will no longer be necessary.

**169.** For all these reasons I believe that the time has now come to wind up the scrutiny committee and to transfer its work in scrutinising names added to the honours lists by the Prime Minister. I propose that this be done by a sub-committee of the House of Lords Appointments Commission.

**Recommendation: The Honours Scrutiny Committee should be wound up when the register of political donations covers a full five years (2006) and its work in scrutinising names added by the Prime Minister transferred to a sub-committee of the House of Lords Appointments Commission.**

**170.** As I have set out above, there are currently three lists submitted to The Queen – the Prime Minister's List, the Diplomatic Service and Overseas List and the Defence Services List. I have considered whether there should be a single list, from the Prime Minister to The Queen, covering all recommendations for honours currently made in these three lists.

171. There does not seem to be any rationale, apart from history, for there being three lists, each put forward to the Palace by a different minister. It could be argued that the Defence List is different, given the special relationship between the armed forces and The Queen. The difference is also recognised by there being separate military divisions in the Orders of the Bath and British Empire. But the arguments for a separate Diplomatic Service List are less strong. Having one list from the Government to the Sovereign could help transparency, in making the system simpler to understand. All three lists are in any event currently seen by the Prime Minister.

172. The important point for me in this arrangement is that separate lists make consistency of criteria unlikely, assuming it is accepted that the same criteria should apply across the board. I believe it is important that there is some coming together of the lists so that they are considered across the board. The most obvious place for this to be done is at the Main Committee, where the three lists could be considered at the same time. This does not mean that they could not be submitted separately.

**Recommendation: The Diplomatic Service and Overseas List and the Defence Services List should be considered together with the Prime Minister's List at the Main Committee before being sent to the Sovereign.**

## DIVERSITY AND NOMINATIONS

173. Everyone should feel that they could be eligible for an honour, whatever their walk of life, background or location – so long as they meet the criteria. It is important for the credibility of the system and the cohesion of the nation that achievement and exceptional service are recognised fairly and across the board.

174. I have already referred to statistics in the annexes on the proportion of women recipients and ethnic minority recipients of awards.

### Ethnic minorities

175. The estimate of the proportion of people from black and minority ethnic (BME) groups receiving honours in the Prime Minister's List is running at 4%-6%. I call this an estimate because the method of identifying BME recipients needs to be improved. At the moment the definition used is anyone who might be expected to classify himself or herself as falling under any of the non-white headings used for the census. The sources underpinning the Ceremonial Secretariat's statistics are predominantly the information supplied by government departments; and, for public nominations dealt with by the Secretariat, indicators such as name, place of birth and activities.

176. The big problem in establishing statistics from nominations is that there is no sure method short of approaching the nominee themselves. For reasons I have set out earlier, the nominee not knowing about their nomination is a central part of the honours system. I can see no way round that problem but I do not think it is right for attempts to be made – admittedly for the best possible reasons – to determine ethnic origin from other information. So far as *recipients* are concerned, the problem above of lack of contact is removed. The obvious time for an approach to be made is when the letter is sent from Number 10. Similar information should be requested from those appearing in the Diplomatic Service and Overseas and the Defence Services Lists.

**Recommendation: There should be a form sent with the letter offering an award which asks for information on ethnicity, using the census definitions. Statistics should be collected on the same basis for the Defence Services List.**

**177.** On the assumption that there is some validity in the current statistics – indeed they may underestimate the position because of the English nature of some Afro-Caribbean names – a figure at the upper end of the range above is close to the 2001 census figure for the minority ethnic population of 6.9%. Indeed, the minority ethnic population aged 45-75 (the age group more likely than others to be eligible for awards) is 4% of the UK population – the very bottom of the range.

## Women

**178.** The percentage of honours going to women over the past 40 years has steadily increased. In the last 10 years the percentage of awards going to women has risen from 27% to 37% and the percentage of honours at CBE and above going to women has practically trebled to 21% at CBE and above. Having said that, however, 51% of the UK population aged 30-75 is female.

**179.** Before sweeping conclusions are drawn from this, however, some examination should be made of the reasons many women may not come into the frame. This may, for example, be because of family responsibilities at some stage in their lives resulting in their not achieving a proportionate number of influential positions or noteworthy roles of service to the community. The lower proportion of awards to women and ethnic minorities at senior levels may reflect a deeper problem of gender and racial inequality in types of work and in numbers of women/members of ethnic minorities achieving key positions in many areas of society.

**180.** It has not been possible in the context of this review to go more deeply into these questions. I suggest that they are explored in the triennial report that I recommend elsewhere.

**Recommendation: The triennial report should explore matters underlying the statistics on the award of honours, and particularly whether there seem to be unwarranted discrepancies.**

## Age

**181.** The age profile of those receiving honours is perhaps not surprising, given the criteria of achievement and exceptional service.

## Volunteers

**182.** The statistics on the numbers receiving honours for voluntary work may be surprising to some, who did not realise the extent to which volunteering is recognised in the honours lists.

## State servants

**183.** One frequent criticism of the honours system is that the proportion of awards going to State servants is too high. Around 27% of honours overall currently go to State servants and this reflects the origins of honours – that they were primarily for Crown service. There is still a body of opinion that supports the view that this should remain a predominant priority. Others argue that honours should reflect society and the nation more generally. This latter view has steadily prevailed, with the proportion of honours to State servants steadily falling.

**184.** It is worth noting that there has traditionally been a disparity in the numbers and levels of awards to State servants as between the three lists. For example, former Grade 2 equivalents in the Diplomatic Service are considered for a K, while their Home Civil Service counterparts are normally considered at CB level; and Grade 6 equivalents in the Defence Services are considered for CBE while their home civil servant equivalents are considered at OBE.

**185.** In addition, there has long been a premium added to the number of honours awarded to diplomats and the armed services, in recognition of the disruption caused by overseas postings. To this has been added the increasingly dangerous and unpleasant conditions in many parts of the world, particularly after the events of 9/11. This results in the following ratio of honours awarded annually to staff in post:

FCO and associated bodies:	1 : 290
Defence Services:	1 : 880
Home Civil Service:	1 : 2,090

**186.** While I recognise that there is some merit in these arguments, it seems to me better that this should be reflected in awards to those who have recently served or are serving in highly disrupted or dangerous places, rather than having a general premium for the Diplomatic and Defence Services. Indeed, this is the general trend. Awards to members of the Diplomatic Service, for instance, are given, more than ever, as recognition of exceptional service, often in difficult and dangerous conditions or circumstances, rather than on the basis of grade. In addition, there are now 'special' honours lists to recognise exceptional service in major foreign crises – the Gulf War, Afghanistan and Iraq. This trend should be encouraged and eventually replace the current arrangement of a premium for a whole service.

**187.** For the State sector generally, there is no right answer to the question of how large this should be. I certainly believe that the traditional view of honours should not be dismissed altogether. There are strong ties between the history of the honours system and the service of the Crown and these continue today, not least with the military. Nevertheless I do believe that the steady decrease in allocations to State servants should continue in order to answer the criticism I have outlined above. In my view it would be reasonable to see the proportion decrease to 20% over the next three to five years.

**Recommendation: The proportion of honours awarded to State servants overall should decrease to 20% over the next three to five years.**

**188.** Although based on a small sample, the analysis of the public nominations forms above shows that – per head of the population – some parts of the country appear to nominate people more frequently than others. In particular the South East has a percentage of nominations far higher than its population would suggest. And the North West has a low number of nominations compared to its population. These indications of imbalance need to be investigated further and the reasons for them established. If there is some reason to do with the system of public nominations why some parts of the country do not nominate in roughly the same proportion as others, then this needs to be addressed.

**Recommendation: Further research is needed on the reasons for the imbalance geographically in public nominations.**

**189.** There is little advertising of the system in order to stimulate nominations. While I do not think that a major and expensive campaign of advertising is necessary, I do think that some thought should be given to some targeted publicity; and to some practical measures to help prompt nominations and to help those wishing to make them. These include:

- advertisements nationally and locally to publicise the public nomination system. For maximum effect these should come the day after the publication of the New Year and Birthday Lists;
- revision of the Ceremonial Secretariat website;
- a leaflet, referred to earlier, available at post offices, libraries, supermarkets and elsewhere; and
- some generic examples of the sort of contribution made by people being awarded honours. This would both stimulate potential nominators to recognise others in their community who measure up; and provide those considering nominating people with guidance on the level at which they should be aiming. I have provided some examples of what I have in mind at annex 8.

**Recommendation: The suggestions above are investigated and pursued.**

**190.** As part of the review I have considered whether there should be a single annual list, in order to introduce more of a feel of an 'annual round', that could become part of the national consciousness. Under this proposal, there would be a single time each year at which nominations should be made. However moving to a single annual list would mean that some of those receiving awards would have to wait a very long time before their investiture. I have not therefore pursued this idea.

**191.** Departments have been repeatedly asked to ensure that good female and minority ethnic candidates are identified in their recommendations put forward. Progress has been made in increasing the numbers of women and, it would seem, members of ethnic minorities in the lists. These efforts need to continue.

**192.** It is difficult, however, for departments to stretch right out into all parts of the country in the search for candidates. The Ceremonial Secretariat of the Cabinet Office and Honours Secretaries in departments try hard to encourage their colleagues to identify candidates. They are dependent on those working in various policy and delivery parts of the departments looking at their sectors and being alive to people who might be eligible and passing them back through the system. In some areas the 'chain of supply' stretches quite far and, in the way of things, impetus can be lost.

**193.** There needs to be a supplement to the supply of names from departments and via the system of public nominations. This needs to be based firmly in the regions. The Lord Lieutenants currently provide assistance in reporting on names on which local input would be helpful because little is known about the nominee centrally. Regional offices also do the same for some candidates. I would like to see this brought together in a more organised way so that there is not only a way of providing information on names but on identifying candidates locally.

**194.** The method used for identifying those for The Queen's Golden Jubilee Award involved a high degree of local input. This award was for voluntary service by groups in the community. Local Selection Panels were established for the first stage of the assessment process, from which recommended and reserve candidates were forwarded to the national assessment panel. Nominations were received following advertisement locally. I would like to see such a system established for honours. It could be based on Lord-Lieutenants with the involvement of Government Regional Offices. The object would be to stimulate nominations as well as providing a broad local base for assessing those nominations received centrally.

**Recommendation: There should be a system of local assessment panels, to consider local nominations and identify suitable nominations for consideration centrally.**

**195.** Another major source of names is bodies with links to government departments. There can be a large number relevant to the work of departments and, as will be seen from the annex of the approach taken by departments, a large number of bodies are canvassed for suggestions. This is to be applauded and should continue. It is important that these lists of bodies are regularly reviewed to ensure that they are up to date and that departments stimulate as many good nominations as they can. I would like to see the three- to five-yearly report process I propose above considering how departments are operating their systems, and how they are working with the bodies they contact. It might also provide an opportunity for the Main Committee to query with departments whether there were sufficient nominations for various categories coming through the system.

**Recommendation: The three- to five-yearly report process should consider departmental systems and whether nominations are coming through properly from all sectors.**

**196.** There are three aspects of the current system that I believe should be changed in order to ensure that candidates currently not succeeding do, in fact, receive rewards. The first is the convention that those who have retired are generally not considered for an honour for the work from which they have now retired. If applied too stringently, this can cause a considerable amount of dissatisfaction. From the public's point of view, retirement is usually the time at which thought is given for proposal for an honour. In addition sometimes very worthy people can be missed. I would like to see the current application of this convention relaxed so that more consideration can be given to candidates in retirement, though I accept the underlying reason for the rule – that there should be some clear association between the a person receiving an award and the period in their life for which it is relevant.

**Recommendation: The guidance on awards in retirement should be rewritten so that these can be given greater consideration.**

**197.** The second is the guidance which prevents those receiving an honour not being considered for another before five years has passed. Again, there is a sensible underlying reason for this convention – so that honours do not become devalued by seeming to be given lightly. But it can cause unfairness if applied too strictly.

**Recommendation: The guidance on awards to those within five years of a previous award should be rewritten so that these are not so frequently dismissed from consideration.**

**198.** The third is to ensure that a certain number of awards are available to the Main Committee, to award to those who can fall between the different sectors being considered by the specialist committees. This can create unfairness to those who have made an excellent contribution across a number of fields but are not known for one particular area. The sum of these people's contribution might put them in the same league as someone who has excelled in one area alone and it should be the role of the Main Committee to consider these multiple sector candidates and to recognise their total contribution, where this is appropriate.

**Recommendation: The Main Committee should have a number of awards at its disposal to award to candidates who have made an excellent contribution across a number of fields and might be passed over by the more specialist sectoral committees.**

## Annexes

- Annex 1 Orders covered by this review
- Annex 2 Awards in other countries
- Annex 3 Analysis of public nominations
- Annex 4 Systems within government for considering honours nominations
- Annex 5 Guidelines on benefactions
- Annex 6 Statistics:
  - Awards in the Prime Minister's List, Diplomatic Service and Overseas List and Defence Services List in 2003
  - Prime Minister's List:
    - Awards by committee nomination over the past 5 years
    - Awards by region over past 5 years
    - Awards with public support over past 5 years
    - Number of awards to women recipients
    - Percentage of honours to women
    - Proportion of awards to members of ethnic minorities
    - The proportion of awards to minority ethnic groups as against the proportion of minority ethnic groups in the population
    - The proportion of awards to women as against the proportion of women in the population
    - The age distribution of the UK population and honours awards
    - The proportion of awards to volunteers as against the proportion of volunteers in the population
    - State and non-State awards over the past 50 years
    - Percentage of State awards over past 50 years
    - Percentage of State awards by level over past 50 years
    - Refusals over past 5 years
- Annex 7 Reconfigured committees
- Annex 8 Generic examples of citations

## Annex 1

### Orders covered by this review

The Order of the Bath, limited to Knight/Dame Grand Cross, Knight/Dame Commander and Companion, and available for senior members of the Home Civil Service and senior military officers only. Founded by King George I in 1725, motto *Tria Juncta in Uno* (three joined in one).

The Order of St Michael and St George, available for diplomats and people who have given service to the UK overseas. Again, the only awards are Knight/Dame Grand Cross, Knight/Dame Commander and Companion level. Founded in 1818, motto *Auspicium Melioris Aevi* (token of a better age).

The Order of the British Empire, the main Order in which most (up to 90%) appointments are made, including to members of the armed services and the diplomatic service. There are five levels: Knight/Dame Grand Cross, Knight/Dame Commander, Commander, Officer and Member. Founded in 1917, motto *For God and Empire*,

Founded in 1917, the Order of the Companion of Honour is limited to 65 with 47 places available for British citizens based in the UK. It is used to recognise personal national eminence in any field but particularly the arts, learning and science. The award does not carry a title (though it does give rise to the post-nominal letters CH) but is roughly equivalent to a knighthood. There are generally no more than one or two in each list and sometimes none.

In addition, men may be appointed as Knights Bachelor. This gives the title Sir but no post-nominal letters. This stands in parallel with the knighthoods in the Orders of Knighthood.



## Annex 2

### Awards in other countries

The following tables contain information on the principal meritorious (or only) orders in each country's honours system. The tables are based on the following information, which embassies were asked to supply.

- Details of awards made by the state to recognise achievement/service (excluding military medals).
- By what principles those awards are made – is it by merit, long service, national prominence etc.
- Who receives them (with any relevant statistics) – overall numbers, breakdown by gender, by age, by occupation, by geographical region etc.
- The system by which people are identified for receipt of an award (self-nomination, public nomination, recommendation by professional bodies, involvement of politicians, civil servants etc), who approves the final list?
- How often awards are made.

#### Australia

The *Order of Australia* is used flexibly to cover most walks of life. However, a variety of medals such as the *Public Service Medal* and the *Australian Sports Medal* (18,000 of which were issued in 2000) are also awarded.



<b>Name:</b>	The Order of Australia
<b>Date of institution:</b>	24.5.1976
<b>Composition:</b>	Knight/Dame (AK/AD)      Discontinued in 1986 Companion (AC) Officer (AO) Member (AM) Medal (OAM)
<b>Purpose:</b>	To recognise merit and achievement and service to Australia (and/or humanity at large).
<b>Recipients:</b>	Available to all.  18,551 awards in general division made by 2004. 13,084 of these were to men; 5467 to women. The average age of recipients was 64. Most awards go to people in urban areas.
<b>Nomination system:</b>	Public nomination system. Self-nominations are not considered appropriate. Cases are researched centrally and then considered by the Council for the Order of Australia.
<b>Frequency:</b>	Twice-yearly on Australia Day (26 January) and The Queen's Birthday.

## Canada

The Canadian system has been modified several times and Canada has gone without honours for lengthy periods (1917-32, 1935-40, 1946-67). There are two principal forms of honour at the present time, with a third, the *Caring Canadian Award*, covering the voluntary service field. There are also a number of provincial orders.



<b>Name:</b>	<b>Order of Canada</b>
<b>Date of institution:</b>	1967
<b>Composition:</b>	Companion (CC)(originally single class) Officer (OC) Member (CM)
<b>Purpose:</b>	To recognise those making a difference (focus on lifetime achievement).
<b>Recipients:</b>	Open to all. 4,000 awards made since 1967.
<b>Nomination system:</b>	Public nominations assessed by independent Advisory Council.
<b>Frequency:</b>	Twice-yearly on Canada Day (1 July) and at New Year.

<b>Name:</b>	<b>Meritorious Service Decorations</b>	
<b>Date of institution:</b>	1984 for MSC (1991 for CSC and MSM)	
<b>Composition:</b>	Military Cross (MSC) Medal (MSM)	Civilian Cross (CSC) Medal (MSM)
<b>Purpose:</b>	To recognise significant accomplishments (focus on single achievement or activity over specified period).	
<b>Recipients:</b>	Both divisions are open to all (nationals and non-nationals).	
<b>Nomination system:</b>	For military awards, commanding officers submit nominations to a military advisory council; for civilian awards, public nominations are submitted and assessed by a separate advisory council.	
<b>Frequency:</b>	Twice-yearly on Canada Day (1 July) and at New Year.	

## Denmark

The Danish orders of chivalry originated in medieval times but have been expanded and modified as times have changed.



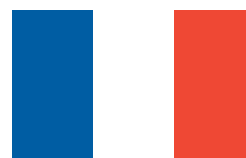
<b>Name:</b>	<b>The Order of the Elephant</b>
<b>Date of institution:</b>	Circa 1462
<b>Composition:</b>	The Order of the Elephant
<b>Purpose:</b>	To recognise merit.
<b>Recipients:</b>	Royal family, heads of state, very exceptional citizens.
<b>Nomination system:</b>	This order is in the gift of the sovereign.
<b>Frequency:</b>	Twice-yearly: New Year and the Queen's Birthday (16 April).

## Denmark (Continued)

<b>Name:</b>	<b>The Order of the Dannebrog</b>	
<b>Date of institution:</b>	1671 (1219)	
<b>Composition:</b>	Grand Commander	(Royalty only)
	Grand Cross	
	Commander	(2 divisions)
	Knight	(2 divisions)
	Silver Cross	
<b>Purpose:</b>	To recognise outstanding work, for example, in the arts, commerce, arts, and culture.	
<b>Recipients:</b>	Open to all.	
<b>Nomination system:</b>	Candidates may be proposed by individuals, but usually ministries or embassies recommend the names.	
<b>Frequency:</b>	Twice-yearly: New Year and the Queen's Birthday (16 April).	

## France

The royal orders were abolished in 1793. The system has been modified several times since then.



<b>Name:</b>	<b>Legion of Honour</b>	
<b>Date of institution:</b>	19.5.1802	
<b>Composition:</b>	Grand Cross	
	Grand Commander	(3 years to next level)
	Commander	(3 years to next level)
	Officer	(5 years to next level)
	Chevalier	(8 years to next level)
<b>Purpose:</b>	To recognise eminent merit.	
<b>Recipients:</b>	Open to all. 4000 awards made since 1967 Open to all but requires at least 20 years of service. Service and associated personnel: 65%; civilians: 35%. Breakdown of civilian occupations: Amenities, transport, housing and tourism 5%; arts and sports 8%; local government and unions 10%; medical 13%; economic sector 25%; public sector 30%; miscellaneous 9%. Women form 10% of the total, but 20% of the appointments in 1998 were made to women.	
<b>Frequency:</b>	January 1, at Easter and on July 14.	

<b>Name:</b>	<b>National Order of Merit</b>	
<b>Date of institution:</b>	3.12.1963	
<b>Composition:</b>	Grand Cross	
	Grand Commander	(3 years to next level)
	Commander	(3 years to next level)
	Officer	(5 years to next level)
	Chevalier	(7 years to next level)
<b>Purpose:</b>	To recognise distinguished merit.	
<b>Recipients:</b>	Open to all (except serving parliamentarians).	
<b>Frequency:</b>	1 May and 1 November.	

## Germany

The West Germans established the Order of Merit in 1951. This has been extended to cover East Germany since reunification. About 200,000 awards have been made. The number given out each year has dropped considerably from 5,257 in 1991 to 3,316 in 2000. This decrease has involved a reduction (by 2,000 a year) in the number of men receiving awards. The female proportion has thus risen from around 15% to around 21% over the same period. There is also a Silver Laurel Leaf award for achievement in sport.



<b>Name:</b>	<b>Order of Merit</b>
<b>Date of institution:</b>	7.9.1951
<b>Composition:</b>	Grand Cross Special Class Grand Cross 1st Class Grand Cross Knight Commander's Cross Commander's Cross Officer's Cross Cross Medal
<b>Purpose:</b>	Outstanding service to the nation.
<b>Recipients:</b>	Open to all.
<b>Nomination system:</b>	Public suggestions can be sent to the state or senate Chancelleries of the Land in which the person lives. Nominations to the President have to be submitted by officials.
<b>Frequency:</b>	Awards from the President can be made on 3 October (German Unity Day) or Voluntary Services Day.

## Italy

The Italian system awards pre-nominal titles – for example the rank of 'cavaliere' would entitle the bearer to be styled as a knight. The title of 'commendatore' is a modern civic (rather than medieval military) title.



<b>Name:</b>	<b>The Order of Merit of the Italian Republic</b>
<b>Date of institution:</b>	3.3.1951
<b>Composition:</b>	Cavaliere di Gran Croce decorato di Grand Cordone Cavaliere di Gran Croce (nominated by the above) Grande Ufficiale Commendatore Ufficiale Cavaliere
<b>Purpose:</b>	To recognise merit and achievement in the arts, social work, philanthropy, writing, economics, and long-term public or military service.
<b>Recipients:</b>	Open to all but must be over 35 and cannot be a deputy or senator. It is not possible to jump grades – recipients must work their way up the levels of the order.
<b>Nomination system:</b>	17 members of the order form a council that advises the Prime Minister, who advises the President.
<b>Frequency:</b>	Annually, on 2 June and 27 December.

## Italy (Continued)

<b>Name:</b>	<b>The Order of Merit of Work</b>
<b>Date of institution:</b>	1901
<b>Composition:</b>	Order of Merit of Work
<b>Purpose:</b>	To recognise merit in agriculture, commerce, industry, and manufacturing.
<b>Recipients:</b>	Open to all
<b>Nomination system:</b>	Determined by a council of ministers and important figures in the relevant fields.
<b>Frequency:</b>	Annually

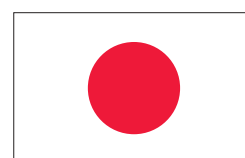
Re-organised in 1951 and 1986

<b>Name:</b>	<b>The Order of the Star of Italian Solidarity</b>
<b>Date of institution:</b>	27.1.1947
<b>Composition:</b>	Grand Ufficiale Commendatore Cavaliere
<b>Purpose:</b>	To recognise those who contributed to the reconstruction of Italy following the Second World War.
<b>Recipients:</b>	Open to all
<b>Nomination system:</b>	Proposed by the Minister for Foreign Affairs.
<b>Frequency:</b>	Annually.

Restyled in September 2001

## Japan

The Japanese system was devised along European lines in the 19th century. It was not used to honour living persons from 1946 to 1964. In November 2003 honours were awarded to 4,068 people, 306 of whom were women.



Most awards go to those over the age of 70, although people in dangerous or labour-intensive jobs may receive awards once they are 55. There was a discussion forum in 2000/2001 and the system was reformed slightly in 2003. Public nominations can now be made.

Bravery, voluntary work, public service, benefaction, high (Confucianist) moral conduct, academic achievement and innovation are recognised by a series of Medals of Honour. Each has a coloured ribbon to indicate the nature of the award.

<b>Name:</b>	<b>The Order of the Chrysanthemum</b>
<b>Date of institution:</b>	1876 (1888 Collar)
<b>Composition:</b>	Collar of the Supreme Order of the Chrysanthemum Grand Cordon of the Supreme Order of the Chrysanthemum
<b>Purpose:</b>	To recognise significant contribution to the state or the public.
<b>Nomination system:</b>	Nominations come from ministries or government agencies and are assessed by a screening conference.
<b>Frequency:</b>	29 April (Imperial birthday) and 3 November (Culture Day).

## Japan (Continued)

<b>Name:</b>	<b>The Order of the Rising Sun</b>
<b>Date of institution:</b>	1875 (1888 Grand Cordon)
<b>Composition:</b>	(Grand Cordon of the Order of the Paulownia Flowers) Grand Cordon Gold and Silver Star Gold Rays with Neck Ribbons Gold Rays with Rosette Gold and Silver Rays Silver Rays Green Paulownia Medal White Paulownia Medal
<b>Purpose:</b>	To recognise significant contribution to the state or the public and for distinguished achievement.
<b>Nomination system:</b>	Nominations come from ministries or government agencies and are assessed by a screening conference.
<b>Frequency:</b>	29 April (Imperial birthday) and 3 November (Culture Day).

<b>Name:</b>	<b>The Order of the Precious Crown</b>
<b>Date of institution:</b>	1888
<b>Composition:</b>	Grand Cordon Gold and Silver Star Gold Rays with Neck Ribbon Gold Rays with Rosette Gold and Silver Rays Silver Rays Gold Medal Silver Medal
<b>Purpose:</b>	Awarded only in special circumstances (e.g. to foreign diplomats).
<b>Nomination system:</b>	Nominations come from ministries or government agencies and are assessed by a screening conference.
<b>Frequency:</b>	29 April (Imperial birthday) and 3 November (Culture Day).

<b>Name:</b>	<b>The Order of the Sacred Treasure</b>
<b>Date of institution:</b>	1888
<b>Composition:</b>	Grand Cordon Gold and Silver Star Gold Rays with Neck Ribbon Gold Rays with Rosette Gold and Silver Rays Silver Rays Gold Medal Silver Medal
<b>Purpose:</b>	To recognise significant contribution to the state or the public and long service/good conduct in public service.
<b>Nomination system:</b>	Nominations come from ministries or government agencies and are assessed by a screening conference.
<b>Frequency:</b>	29 April (Imperial birthday) and 3 November (Culture Day).

## Kenya

Honours and awards were re-modelled following independence from the UK in 1963.



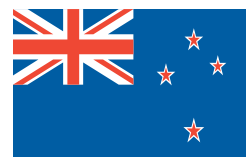
<b>Name:</b>	<b>The Order of the Golden Heart of Kenya</b>	
<b>Composition:</b>	Chief of the Order (CGH) (for the Head of State)	
	Elder of the Order (EGH)	(for vice-president, Speaker of the National Assembly, cabinet ministers, generals, chief justice, head of public service)
	Moran of the Order (MGH)	(for deputy speaker, assistant ministers, lieutenant generals, permanent secretaries, ambassadors, police commissioner)
<b>Purpose:</b>	To recognise merit.	
<b>Recipients:</b>	As above	
<b>Nomination system:</b>	Individuals, professional bodies, and government departments may nominate. Honours and Awards Committees at district level select and recommend to the National Honours and Awards Committee.	
<b>Frequency:</b>	Annually on 12 December	

<b>Name:</b>	<b>The Order of the Burning Spear</b>	
<b>Composition:</b>	Chief of the Order (CBS)	(for MPs, major generals, high court judges, vice chancellors, commissioner of prisons, distinguished scientists)
	Elder of the Order (EBS)	(for brigadiers, provincial commissioners, heads of professional bodies, university professors and scientists)
	Moran of the Order (MBS)	(for colonels, lieutenant colonels, district commissioners, magistrates or prominent civilian contributing to national development)
<b>Purpose:</b>	To recognise merit.	
<b>Recipients:</b>	As above	
<b>Nomination system:</b>	Individuals, professional bodies, and government departments may nominate. Honours and Awards Committees at district level select and recommend to the National Honours and Awards Committee.	
<b>Frequency:</b>	Annually on 12 December	

<b>Name:</b>	<b>The Order of the Grand Warrior of Kenya</b>	
<b>Composition:</b>	Order of the Grand Warrior of Kenya	
<b>Purpose:</b>	To recognise meritorious service and outstanding devotion to duty.	
<b>Recipients:</b>	For members of the armed forces, other uniformed services, public officers, politicians, and prominent personalities.	
<b>Nomination system:</b>	Individuals, professional bodies, and government departments may nominate. Honours and Awards Committees at district level select and recommend to the National Honours and Awards Committee.	
<b>Frequency:</b>	Annually on 12 December	

## New Zealand

The New Zealand system has evolved considerably in recent decades. It became completely independent of the British system in 1996.



<b>Name:</b>	<b>The Order of New Zealand</b>
<b>Date of institution:</b>	1987
<b>Composition:</b>	Order of New Zealand (ONZ)
<b>Purpose:</b>	To recognise outstanding service to the Crown and people of New Zealand in a civil or military capacity.
<b>Recipients:</b>	Open to all. 20 ordinary members at any one time
<b>Nomination system:</b>	Nominations from the public and from the government/public service are assessed by an Honours and Appointments committee.
<b>Frequency:</b>	Twice-yearly, on The Queen's Birthday and at the New Year.

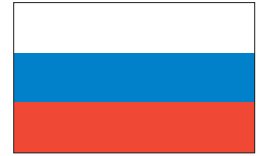
<b>Name:</b>	<b>The New Zealand Order of Merit</b>
<b>Date of institution:</b>	30.5.1996
<b>Composition:</b>	Principal Companions (PCNZM) (formerly Knights/Dames Grand Companion) Distinguished Companions (DCNZM) (formerly Knights and Dames Companion) Companions (CNZM) Officers (ONZM) Members (MNZM)
<b>Purpose:</b>	To recognise those who have rendered meritorious service to the Crown/nation or who have become distinguished by their eminence, talents, contributions or other merits.
<b>Recipients:</b>	Open to all. 30 awards at PCNZM level at any one time
<b>Nomination system:</b>	Nominations from the public and from the government/public service are assessed by an Honours and Appointments committee.
<b>Frequency:</b>	Twice-yearly, on The Queen's Birthday and at the New Year.

<b>Name:</b>	<b>The Queen's Service Order</b>
<b>Date of institution:</b>	13.3.1975
<b>Composition:</b>	Companion – for community service (QSO)      Companion – for public service (QSO) Medal – for community service (QSM)      Medal – for public service (QSM)
<b>Purpose:</b>	To recognise voluntary work or public sector service.
<b>Recipients:</b>	Open to all (although for the public service award the nominee must be in an elected or appointed position). For QSO 30 awards a year, 140 for QSM.
<b>Nomination system:</b>	Nominations from the public and from the government/public service are assessed by an Honours and Appointments committee.
<b>Frequency:</b>	Twice-yearly, on The Queen's Birthday and at the New Year.



## Russia

Over the last century the Russian honours system has changed considerably. The principal orders of the current system are very new. There is a Commission on State Awards to oversee their honours process. About one in every 1,000 Russians receive a state award. 40% of awards go to those between 51 and 60 years old. The system is still developing.



<b>Name:</b>	<b>The Order of St Andrew the First-Called</b>
<b>Date of institution:</b>	1.7.1998 (1698)
<b>Composition:</b>	The Order of St Andrew
<b>Purpose:</b>	To recognise exceptional services to Russia's welfare, greatness and grandeur.
<b>Recipients:</b>	Citizens of the Russian Federation and foreign heads of state.
<b>Nomination system:</b>	Applications can be submitted by establishments, enterprises, local authorities and organisations.

<b>Name:</b>	<b>The Order for Prominent Services to the Fatherland</b>	
<b>Date of institution:</b>	2.3.1994	
<b>Composition:</b>	Grand Cross Commander with star Commander	Member Medal (with civil and military divisions)
<b>Purpose:</b>	To recognise prominent services in connection with the development of Russia, securing peace and cooperation between nations, labour achievements or a significant contribution to national defence.	
<b>Recipients:</b>	Open to all.	
<b>Nomination system:</b>	Applications can be submitted by establishments, enterprises, local authorities and organisations.	

<b>Name:</b>	<b>The Order of Honour</b>
<b>Date of institution:</b>	2.3.1994
<b>Composition:</b>	The Order of Honour
<b>Purpose:</b>	To recognise high achievements in public service, industry, research, culture, charitable work, law and order, and the rearing of children.
<b>Recipients:</b>	Open to all.
<b>Nomination system:</b>	Applications can be submitted by establishments, enterprises, local authorities and organisations.

<b>Name:</b>	<b>The Order of Friendship</b>
<b>Date of institution:</b>	2.3.1994
<b>Composition:</b>	The Order of Friendship
<b>Purpose:</b>	To recognise significant contributions to the promotion of friendship between nations and nationalities and for developing Russia's economic and scientific potential.
<b>Recipients:</b>	Open to all.
<b>Nomination system:</b>	Applications can be submitted by establishments, enterprises, local authorities and organisations.

## Sweden



Sweden discontinued its honours system in 1975. The remaining Royal Orders are no longer available to Swedish nationals. However, the government places no restrictions on the rights of its citizens to wear any foreign decorations they may receive.

Although the *Order of the Seraphim* and the *Order of the Polar Star* are not available to non-royal Swedes, there are a number of other medals available. The foremost example is the *King's Medal*, which is awarded in various grades for merit and/or long and faithful service. The Government also makes awards such as the *Illis Quorum meruere labores* for former prime ministers and very prominent citizens. Royal Academies and various societies – notably the Royal Patriotic Society – also present medals to those whom they feel deserve recognition.

<b>Name:</b>	<b>The Order of the Seraphim</b>
<b>Date of institution:</b>	1748
<b>Composition:</b>	Knights/member of the Order of the Seraphim
<b>Recipients:</b>	Members of the Royal family and foreign heads of state.
<b>Nomination system:</b>	In the gift of the sovereign.
<b>Frequency:</b>	Five times a year.

<b>Name:</b>	<b>The Order of the Polar Star</b>	
<b>Date of institution:</b>	23.6.1748	
<b>Composition:</b>	Commander Grand Cross Commander 1st Class	Commander Knight
<b>Purpose:</b>	To recognise civic merits, for devotion to duty, for science, literary, learned and useful works and for new and beneficial institutions.	
<b>Recipients:</b>	Non-Swedish nationals	
<b>Nomination system:</b>	On the recommendation of Swedish ambassadors and forwarded to other ministries for consideration.	
<b>Frequency:</b>	Five times a year.	

## Thailand



There are nine orders, bravery decorations and a variety of medals. Some of them are reserved for royalty or members of the military. Others are comparable to hereditary peerages.

<b>Name:</b>	<b>The Most Auspicious Order of the Rajamitrabhorn</b>
<b>Date of institution:</b>	1962
<b>Composition:</b>	The Most Auspicious Order of the Rajamitrabhorn
<b>Recipients:</b>	Foreign heads of state
<b>Nomination system:</b>	N/a
<b>Frequency:</b>	Unfixed

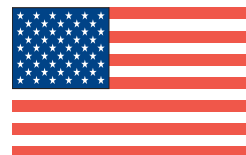
## Thailand (Continued)

<b>Name:</b>	<b>The Ancient and Auspicious Order of the Nine Gems</b>
<b>Date of institution:</b>	1851
<b>Composition:</b>	The Ancient and Auspicious Order of the Nine Gems (NR)
<b>Purpose:</b>	To recognise service to the kingdom and in affiliation with Buddhism.
<b>Recipients:</b>	The Royal Family and distinguished high ranking officials.

<b>Name:</b>	<b>The Most Admirable Order of the Direkgunabhorn</b>								
<b>Date of institution:</b>	1991								
<b>Composition:</b>	<table> <tr> <td>Knight Grand Cross</td> <td>Member</td> </tr> <tr> <td>Knight Commander</td> <td>Gold Medal</td> </tr> <tr> <td>Commander</td> <td>Silver Medal</td> </tr> <tr> <td>Companion</td> <td></td> </tr> </table>	Knight Grand Cross	Member	Knight Commander	Gold Medal	Commander	Silver Medal	Companion	
Knight Grand Cross	Member								
Knight Commander	Gold Medal								
Commander	Silver Medal								
Companion									
<b>Purpose:</b>	To recognise devotional service to the kingdom.								
<b>Recipients:</b>	Open to all.								

## United States

The United States uses medals and other awards to recognise all types of meritorious work or service.



<b>Name:</b>	<b>Congressional Gold Medal</b>
<b>Date of institution:</b>	1776
<b>Composition:</b>	Congressional Gold Medal
<b>Purpose:</b>	To recognise lifetime contributions or singular achievements in various fields including politics, the military, arts, science, exploration, art, humanitarian work and public service.
<b>Recipients:</b>	Open to all – including foreigners, groups and organisations.
<b>Nomination system:</b>	Senators must co-sponsor a nomination for it to be considered by a House Committee.
<b>Frequency:</b>	Unfixed.

<b>Name:</b>	<b>Presidential Medal of Freedom</b>		
<b>Date of institution:</b>	6.7.1945		
<b>Composition:</b>	<table> <tr> <td>Presidential Medal of Freedom with Distinction</td> </tr> <tr> <td>Presidential Medal of Freedom</td> </tr> </table>	Presidential Medal of Freedom with Distinction	Presidential Medal of Freedom
Presidential Medal of Freedom with Distinction			
Presidential Medal of Freedom			
<b>Purpose:</b>	To recognise meritorious contributions to the security or national interests of the US; world peace; or cultural and other significant public or private endeavours.		
<b>Recipients:</b>	Open to all, though awards often reflect the interests of the President.		
<b>Nomination system:</b>	Nominations can be sent to the White House for consideration but it is selected solely by the President.		
<b>Frequency:</b>	Unfixed.		

## United States (Continued)

<b>Name:</b>	<b>Presidential Citizens Medal</b>
<b>Date of institution:</b>	13.11.1969
<b>Composition:</b>	Presidential Citizens Medal
<b>Purpose:</b>	To recognise contributions in the fields of human rights, civil rights, national security, space exploration, religion, public service, and the environment.
<b>Recipients:</b>	Open to all.
<b>Nomination system:</b>	Nominations are sent to the White House for consideration.
<b>Frequency:</b>	Unfixed.

## COUNTRIES WITHOUT HONOURS SYSTEMS

### China

The Chinese do not have a national honours system as such. A series of awards for different fields are used to recognise prominent citizens. There have been discussions recently about implementing a more comprehensive system. The most famous award is the May 1 *Labourer Prize* distributed by the National Labourers' Union.



### Ireland

The Irish do not give out civil honours. There are, however, a small number of medals for military and emergency services personnel.



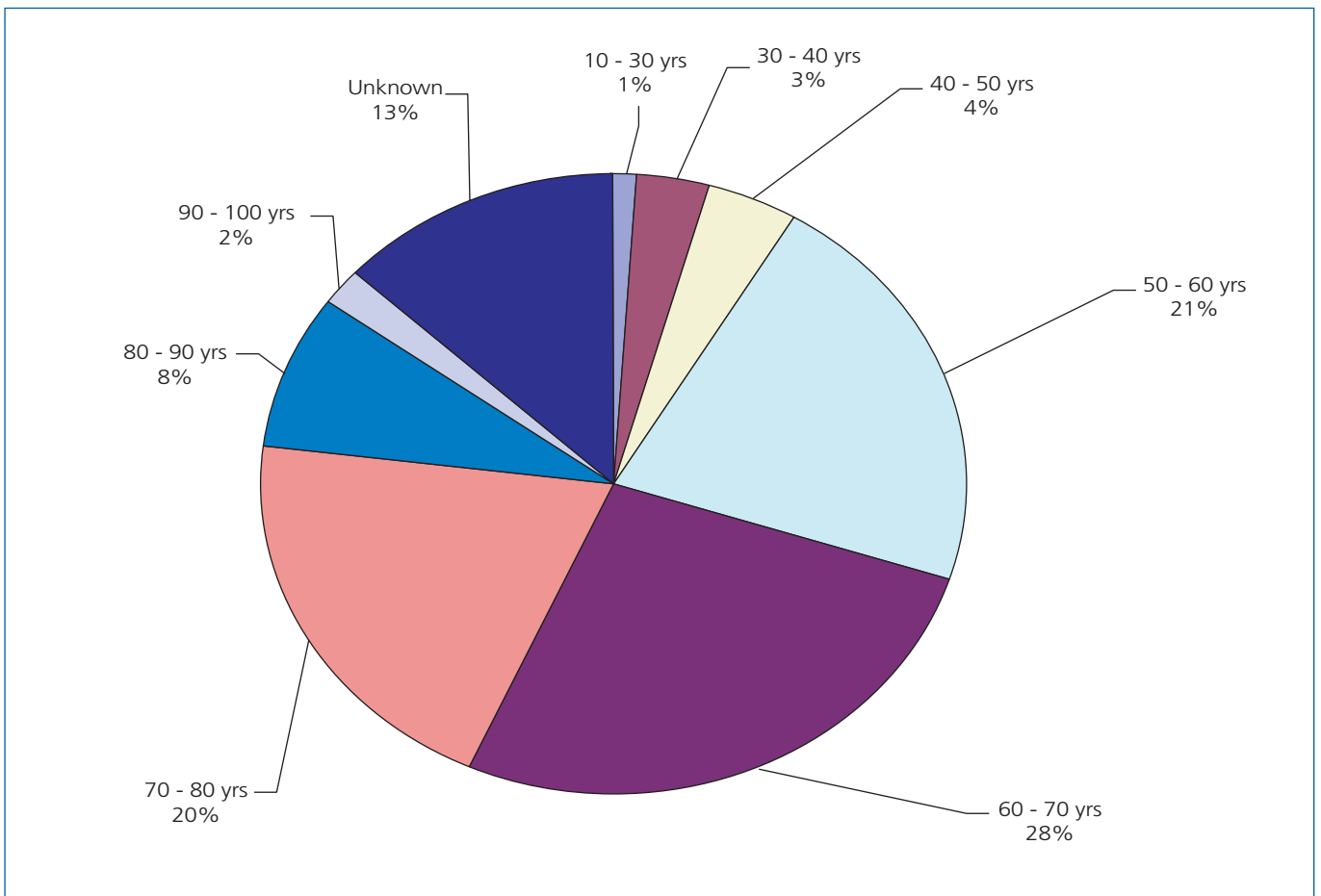
## Internet reference sources

<b>Australia:</b>	<a href="http://www.itsanhonour.gov.au">www.itsanhonour.gov.au</a>
<b>Canada:</b>	<a href="http://www.gg.ca">www.gg.ca</a>
<b>Denmark:</b>	<a href="http://www.kongehuset.dk">www.kongehuset.dk</a>
<b>France:</b>	<a href="http://www.legiondhonneur.fr/shared/us/histoire/fhisto.html">www.legiondhonneur.fr/shared/us/histoire/fhisto.html</a>
<b>Italy:</b>	<a href="http://www.quirinale.it/onorificenze/onorificenze.asp">www.quirinale.it/onorificenze/onorificenze.asp</a>
<b>Japan:</b>	<a href="http://www8.cao.go.jp/english/decoration/index.html">www8.cao.go.jp/english/decoration/index.html</a>
<b>New Zealand:</b>	<a href="http://www.dpnc.govt.nz/honours/">www.dpnc.govt.nz/honours/</a>
<b>Russia:</b>	<a href="http://www.gov.ru/nagrad/index.htm">www.gov.ru/nagrad/index.htm</a>
<b>Sweden:</b>	<a href="http://www.royalcourt.se">www.royalcourt.se</a>
<b>Thailand:</b>	<a href="http://www.cabinet.thaigov.go.th/eng/dd_main31.htm">www.cabinet.thaigov.go.th/eng/dd_main31.htm</a>
<b>General:</b>	<a href="http://www.medals.org.uk">www.medals.org.uk</a>

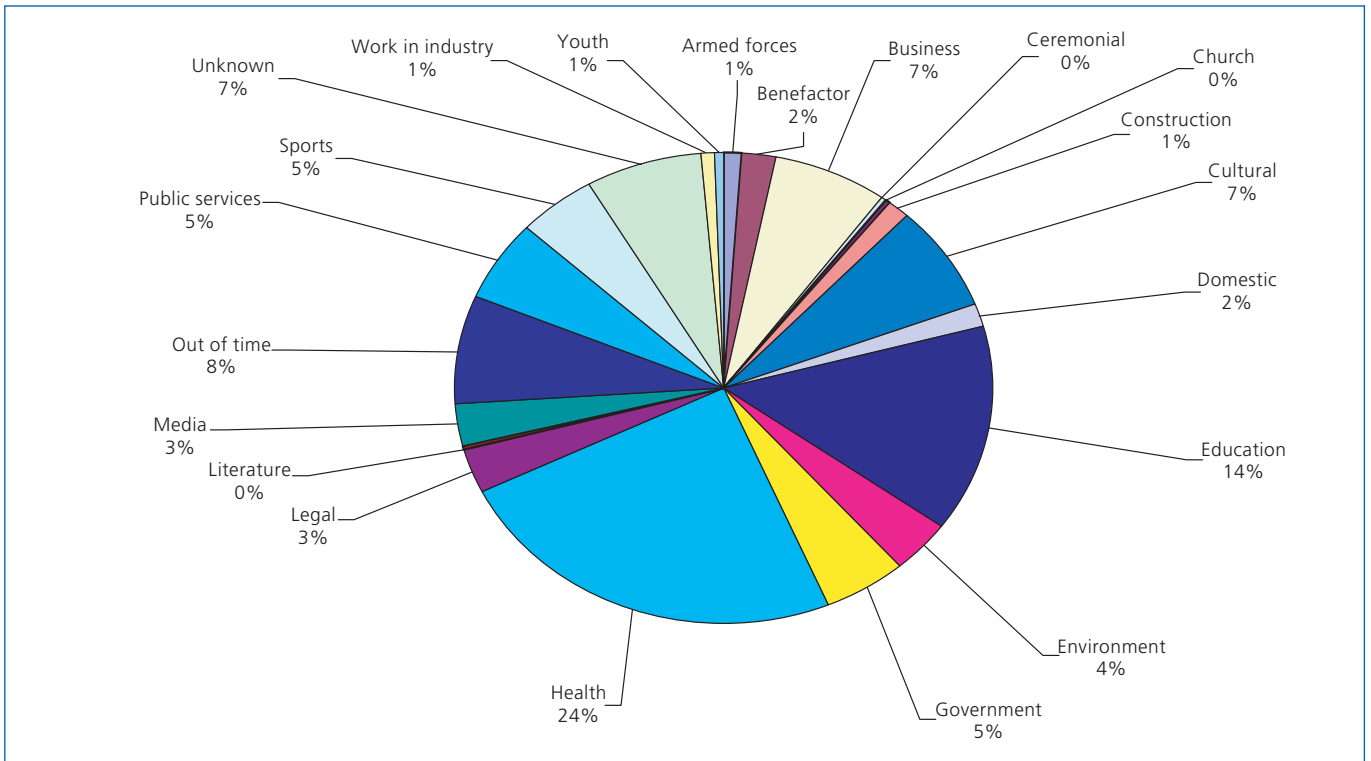
## Annex 3

### Analysis of public nominations

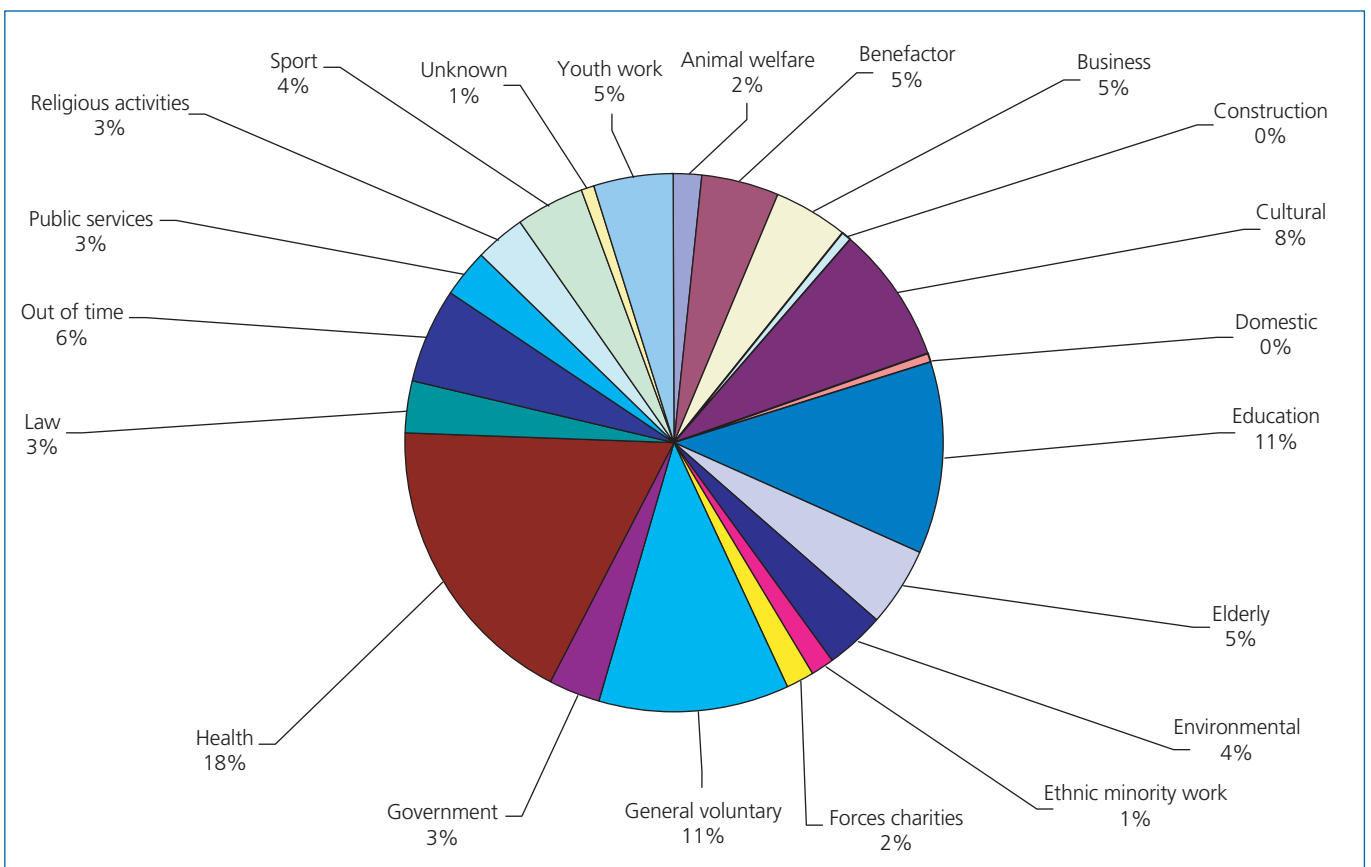
Age of nominee



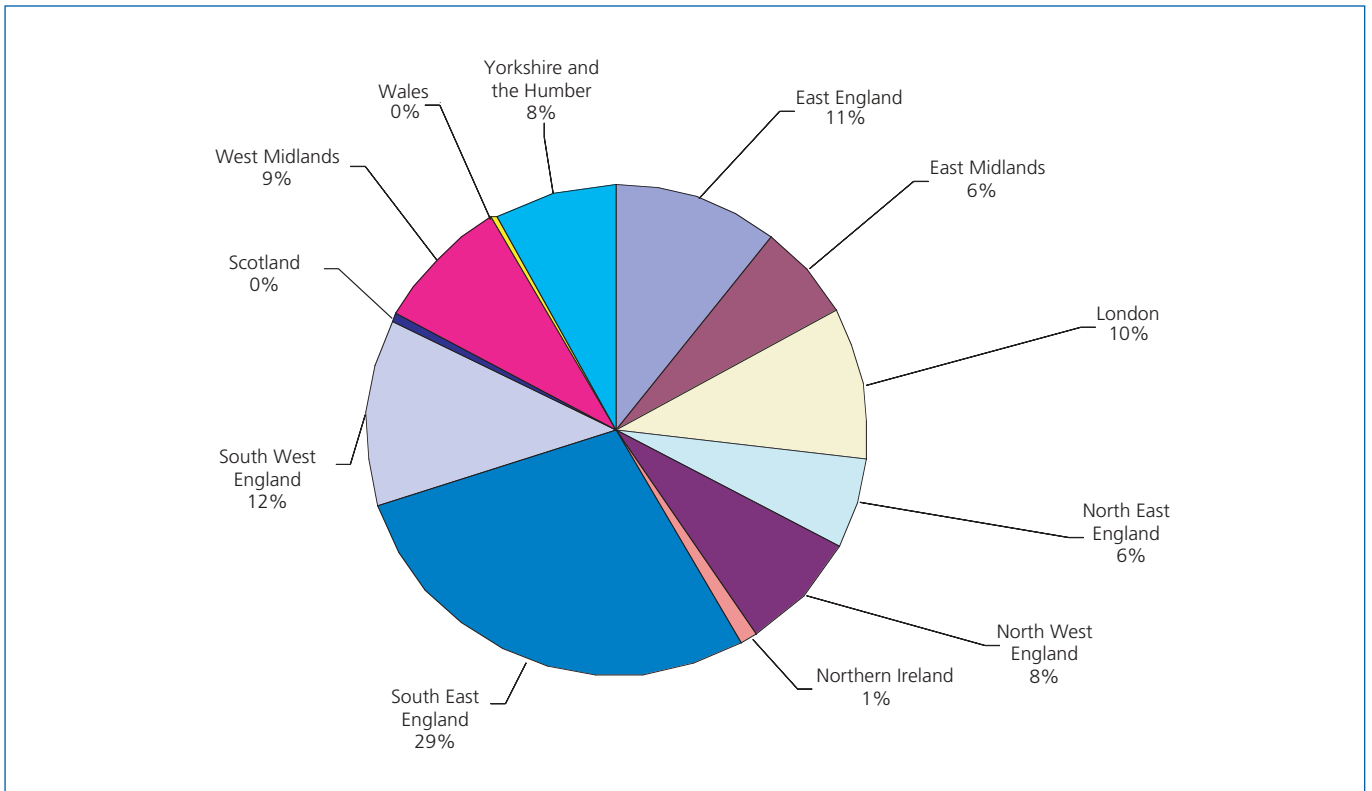
### Occupation of nominees



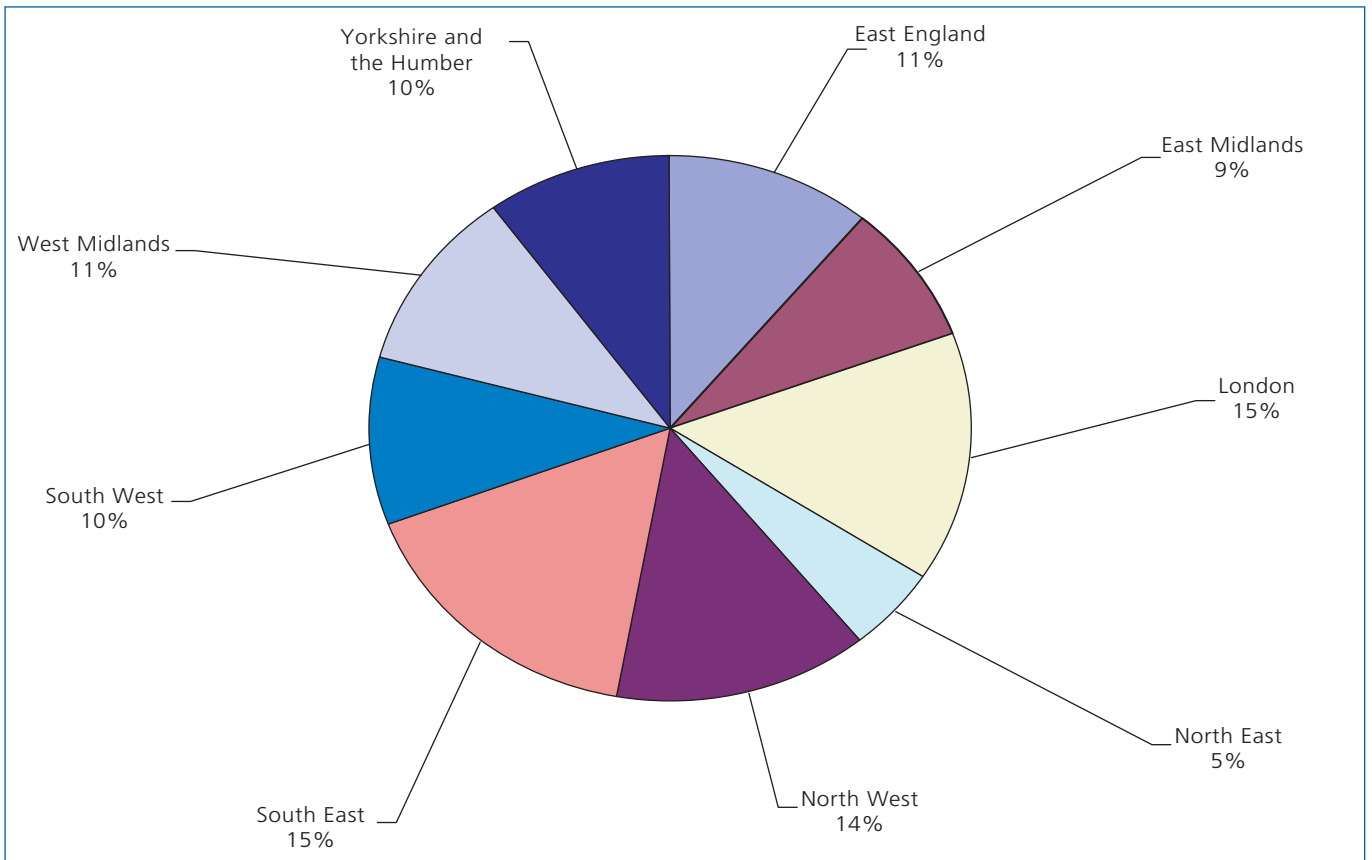
### Activities for which nominated



### Areas from which nominations come



### Regional distribution of population in England



## Annex 4

### Systems within government for considering honours nominations

A sample of government departments and bodies was asked to provide information on their internal systems for identifying and considering candidates, and which outside bodies they contacted. Candidates identified by this route are forwarded to the Ceremonial Secretariat for consideration in the Prime Minister's list.

#### Internal systems

Systems are broadly the same, though with some differences because of the different areas covered by the various government bodies.

There are staff in each body whose job it is to administer the submission of names for honours from that body. Typically these are called Honours Secretaries. They can vary in grade, the numbers of staff involved and in where they feature in the organisation in terms of reporting lines. Generally speaking Honours Units are very small, no more than one or two people. The honours function is often combined with others, such as nominations for royal garden parties, or appointments.

The Honours Secretaries will launch the process twice a year, in preparation for specific lists. Typically this takes the form of a letter or e-mail internally asking for names to be brought forward. These letters/e-mails will set out the process to be followed and the criteria and priorities for nominations. One department reported a meeting to launch the process, as well as written communications.

These requests will ask various parts of the department or body (for simplicity, referred to here simply as 'divisions' in 'departments') to come forward with a list of names for consideration. Relevant outside bodies might also be approached at this stage by the Honours Secretary, or the various parts of the department may do this themselves. Honours Secretaries may send divisions names of candidates previously assessed as suitable but which did not make it into the final lists submitted centrally, together with those that had been submitted centrally but did not make it through to the published list. They might also send nominations they have received from external bodies, for the division to consider.

Typically there will then be a sifting process within divisions, culminating in a meeting on honours chaired by the senior official (head of the group) to which the heads of the divisions report. The outcome is reported to the Honours Secretary, showing the names the group supports and those they would like deferred/dropped altogether. In some departments where there are heads of profession these meet with directors to consider the assessed list. Similarly where there are bodies relevant to particular areas, for example science, there could be a meeting with those bodies and the chief ministerial adviser. Most departments submit full citations to the Honours Secretariat; one department reported identifying names and calling for full citations later in the process.

Honours secretariats vary in the discretion they exercise over sifting names. Some act largely as a support for the internal process; most have discretion to weed out obviously unfitted suggestions; some suggest prioritisation of names. Most will offer feedback (obtained from Ceremonial Secretariat) on names previously forwarded without success. For example, one body reported taking an overview of the community names selected by directors (since there were far more than could reasonably be put forward further) and prioritising them.



Apart from one at Grade 2 level, all bodies reported a meeting chaired by the Permanent Secretary to consider the final proposed list. These meetings are usually with all the deputy heads and sometimes the directors. Decisions are made on which levels should go forward and which deferred. Attention is paid to the overall balance of the list and the focus is most on honours above OBE, since there are generally meetings chaired at a senior level but below the final meeting with the Permanent Secretary, to consider State and non-State nominations at O and M level.

Following that, the list is shown to the Ministerial head of the department and equivalents.

## Outside bodies contacted

Departments consult a huge number of bodies related to their work about nominations for honours. This is generally canvassing for names but can also be to ask for views on specific nominations. Most bodies are contacted by letter or e-mail but sometimes honours are an agenda item at bilateral meetings. Inspectorates play a part in the process.

A list of the bodies identified by the sample of departments approached in this exercise would run to many pages. The following gives some indication of the numbers involved.

The Home Office Active Communities Unit contacts 100 voluntary and charity organisations for each list, i.e. twice a year. Different groups are approached each time, so not the same 100.

The Department for Culture, Media and Sport contacts over 200 bodies.

The Scottish Executive contacts over 200.

The Department of Trade and Industry contacts over 70.

The Department for Education and Skills contact nearly 20, as do the Department of Health, together with the many NHS Trusts and Primary Care Trusts.

## Annex 5

### Guidelines on benefactions

1. The following guide rules should be applied to candidates under the 'Benefactions' heading:

#### Well-supported

- a. nominations for generous giving should be covered by a nominator and three or four widely spread supporters (to prevent 'in-groups' from pressing a single case, or to ensure that even where the interest is primarily directed to one cause, that cause has a broad basis of informed support);

#### Consistent and well planned

- b. the benefactor should be expected to have demonstrated a commitment to the bodies or areas in receipt of funds, and a thoughtful approach to their support, normally over a period of five years at least. Short term gifts which create financial problems for others are certainly not helpful. A contribution of time, as well as money, would normally be required for consideration for an honour;
- c. where a very large donation has been made, perhaps for a key project, no award should be made until the building has been completed successfully (as would be the case for its architect), or the project is running well. This would ensure a better public perception for any award and accords with the principle that for the donor the project and its success should be more important than any reward. (Honours for a benefaction that was received for a viable plan which later went awry through no fault of the benefactor would be exceptional.);

#### Meritorious and widely recognised

- d. the activities supported should meet the merit criterion, being well-selected and successfully meeting important publicly recognised needs;

#### Self-effacing

- e. there would normally be a low key approach to giving, or at least giving which is not self-evidently designed to enhance the wider public prestige of the giver or to publicise his business interests;

#### Legitimate in origin

- f. unless the provenance is clear, the source of the funds may need to be checked to assure the committee that it is legitimate, and is not from activities, or gained in circumstances, which would attract public disapproval and thus might bring the honours system into disrepute;

## Without undue risk

- g.** given the potential for controversy and criticism for this category of awards, recommendations need to be considered with caution to avoid misunderstanding and criticism of the honours system; and
- h.** in particular, where a candidate under Benefactions is identified as having significant and active connections with any political party, the Prime Minister should be recommended to refer the case to the PHSC for their comments. (The Political Honours Scrutiny Committee was set up in 1923 to ensure that the circumstances of political nominations for honours were fully in accord with propriety. Their observations are submitted to the Prime Minister in confidence.)
- 2.** Nominations should include comment on the extent and duration of the time and commitment given by the candidate in the various areas covered by the giving, and on the nature of the schemes or causes supported. Departments will need to examine these comments in the light of the guidelines (especially (b) (c) and (d) above), and should also assess the degree of personal (or political) sensitivity attaching to the individual proposed. The exercise of careful judgement at the highest level in the recommending department is a crucial ingredient in any submission.

**Ceremonial Branch**  
**April 1997**

## Annex 6

### Statistics

#### Awards in 2003

	Total awards	Total non-state	Total state	*Home civil service	*Diplomatic and overseas (state only) (not other realms)	*Defence service
K/D	72	57 (79%)	15 (21%)	5 (33%)	6 (40%)	4 (27%)
CB/CMG/CBE	268	163 (61%)	105 (39%)	59 (56%)	14 (13%)	32 (31%)
OBE	513	372 (73%)	141 (27%)	70 (50%)	18 (13%)	53 (37%)
MBE	1415	1058 (75%)	357 (25%)	126 (35%)	29 (8%)	202 (57%)
<b>TOTAL</b>	<b>2268</b>	<b>1650 (73%)</b>	<b>618 (27%)</b>	<b>260 (42%)</b>	<b>67 (11%)</b>	<b>291 (47%)</b>

\* Percentage are of total state awards

#### Breakdown of honours on Prime Minister's list by part: DKBE.Kt and CH BD 1999 – NY 2004

	BD1999	NY2000	BD2000	NY2001	BD2001	NY2002	BD2002	NY2003*	BD2003*	NY2004*
D/KBE										
State			1					1		
Med/S&T	1	1			3			1	1	
ACI		1			1	1			1	
Maec	1	2	3	1	2	1	1	1	2	1
Loc	5	5	2	6	3	2	2	2	3	6
Sport			1							
Media	1									1
Millennium		1								
Other										2
<b>TOTAL</b>	<b>8</b>	<b>10</b>	<b>7</b>	<b>7</b>	<b>9</b>	<b>4</b>	<b>3</b>	<b>5</b>	<b>7</b>	<b>10</b>

	BD1999	NY2000	BD2000	NY2001	BD2001	NY2002	BD2002	NY2003*	BD2003*	NY2004*
Kt										
State	1	2	1	3	1	2	2	1		2
Med/S&T	3	6	4	4	1	3	5	3	4	5
ACI	7	10	6	5	8	5	6	4	6	4
Maec	4	7	3	5	3	5	5	2	2	3
Loc	7	13	11	6	9	9	7	10	8	3
Sport	1	2		1	1	1	1			1
Media	1	1		1	1	2	1	1	1	1
Millennium										
Other		1							5	4
<b>TOTAL</b>	<b>24</b>	<b>42</b>	<b>25</b>	<b>25</b>	<b>24</b>	<b>27</b>	<b>27</b>	<b>21</b>	<b>26</b>	<b>23</b>

	BD1999	NY2000	BD2000	NY2001	BD2001	NY2002	BD2002	NY2003*	BD2003*	NY2004*
CH										
State										
Med/S&T								1	1	
ACI										
Maec	1				1	1	2	2	1	
Loc										
Sport										
Media										
Millennium										
Other										
<b>TOTAL</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>1</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>2</b>	<b>0</b>

\* Excludes deaths and refusals.

An increased number of honours were awarded at NY2000. The Millennium Committee was established solely for the New Year Honours List 2000.

All figures include deaths and refusals. At NY2000 deaths and refusals were exceptionally replaced (8 deaths and 29 refusals).

### Breakdown of honours on Prime Minister's list by part: CB, CMG and CBE BD 1999 – NY 2004

	BD1999	NY2000	BD2000	NY2001	BD2001	NY2002	BD2002	NY2003*	BD2003*	NY2004*
CB										
State	10	16	10	9	13	14	10	21	13	13
<b>TOTAL</b>	<b>10</b>	<b>16</b>	<b>10</b>	<b>9</b>	<b>13</b>	<b>14</b>	<b>10</b>	<b>21</b>	<b>13</b>	<b>13</b>

	BD1999	NY2000	BD2000	NY2001	BD2001	NY2002	BD2002	NY2003*	BD2003*	NY2004*
CMG										
State			1	2	1		3	1	1	
Med/S&T										
ACI	1		1	1	2	1	2		1	
Maec										
Loc				1					1	1
Sport										
Media										
Other										
<b>TOTAL</b>	<b>1</b>	<b>0</b>	<b>2</b>	<b>4</b>	<b>3</b>	<b>1</b>	<b>5</b>	<b>1</b>	<b>3</b>	<b>1</b>

	BD1999	NY2000	BD2000	NY2001	BD2001	NY2002	BD2002	NY2003*	BD2003*	NY2004*
CBE										
State	20	20	18	20	18	19	20	9	16	18
Med/S&T	10	13	10	11	10	10	10	11	10	10
ACI	26	36	26	27	26	23	27	24	27	27
Maec	12	17	12	12	12	9	12	13	12	13
Loc	31	42	32	32	32	33	33	16	33	31
Sport	2	3	1	3	1	4	2	5	3	2
Media	2	4	4		1	1	2	3	3	2
Millennium		3								
Other									1	1
<b>TOTAL</b>	<b>103</b>	<b>138</b>	<b>103</b>	<b>105</b>	<b>100</b>	<b>99</b>	<b>106</b>	<b>81</b>	<b>105</b>	<b>104</b>

\* Excludes deaths and refusals.

An increased number of honours were awarded at NY2000. The Millennium Committee was established solely for the New Year Honours List 2000.

All figures include deaths and refusals. At NY2000 deaths and refusals were exceptionally replaced (8 deaths and 29 refusals).

	BD1999	NY2000	BD2000	NY2001	BD2001	NY2002	BD2002	NY2003*	BD2003*	NY2004*
OBE										
State	39	41	40	38	35	41	36	34	36	34
Med/S&T	14	27	16	17	16	19	14	15	14	15
ACI	47	54	48	50	49	49	44	40	49	47
Maec	12	23	15	13	15	17	15	12	15	13
Loc	110	182	109	110	111	106	112	103	101	107
Sport	6	12	6	7	6	6	6	7	6	7
Media	3	7	3	6	5	3	4	5	4	3
Millennium		20								
Other									1	3
<b>TOTAL</b>	<b>231</b>	<b>366</b>	<b>237</b>	<b>241</b>	<b>237</b>	<b>241</b>	<b>231</b>	<b>216</b>	<b>226</b>	<b>229</b>

	BD1999	NY2000	BD2000	NY2001	BD2001	NY2002	BD2002	NY2003*	BD2003*	NY2004*
MBE										
State	75	79	72	67	67	65	66	63	63	65
Med/S&T	11	17	12	14	14	16	14	14	12	14
ACI	80	99	81	87	85	80	72	74	72	67
Maec	16	27	21	23	22	23	25	20	22	19
Loc	385	690	373	375	396	390	400	395	401	376
Sport	20	34	18	40	16	22	19	19	16	19
Media	4	7	7	6	7	6	6	7	4	6
Millennium		33								
Other		2							1	32
<b>TOTAL</b>	<b>591</b>	<b>988</b>	<b>584</b>	<b>612</b>	<b>607</b>	<b>602</b>	<b>602</b>	<b>592</b>	<b>591</b>	<b>598</b>

\* Excludes deaths and refusals.

An increased number of honours were awarded at NY2000. The Millennium Committee was established solely for the New Year Honours List 2000.

All figures include deaths and refusals. At NY2000 deaths and refusals were exceptionally replaced (8 deaths and 29 refusals).

	BD1999	NY2000	BD2000	NY2001	BD2001	NY2002	BD2002	NY2003*	BD2003*	NY2004*
Scotland	114	187	119	113	112	132	150	126	119	123
N Ireland	62	97	63	70	64	73	72	73	65	42
Wales	53	69	51	56	65	49	63	49	57	62
North East <sup>A</sup>	88	125	81	84	101	104	94			
North East <sup>B</sup>								27	21	28
North West	83	123	71	62	54	64	36	70	69	65
Central	131	211	161	138	125	142	155			
East Anglia	45	70	36	27	37	52	60			
East*								51	75	75
East Midlands*								52	41	48
West Midlands*								73	76	64
London	139	196	131	158	127	135	152	148	143	146
South East <sup>A</sup>	152	228	140	157	155	122	82			
South East <sup>B</sup>								166	159	173
South	45	78	47	49	61	29	36			
South West	58	86	62	57	53	70	71	81	86	84
Yorkshire and the Humber*								47	51	63
Living Abroad	5	6	4	1	2	5	2	4	1	3
Channel Islands and Isle of Man	7	13	4	4	7	9	8	8	8	9

\* Redefined regions as of 2003.

A region previously used.

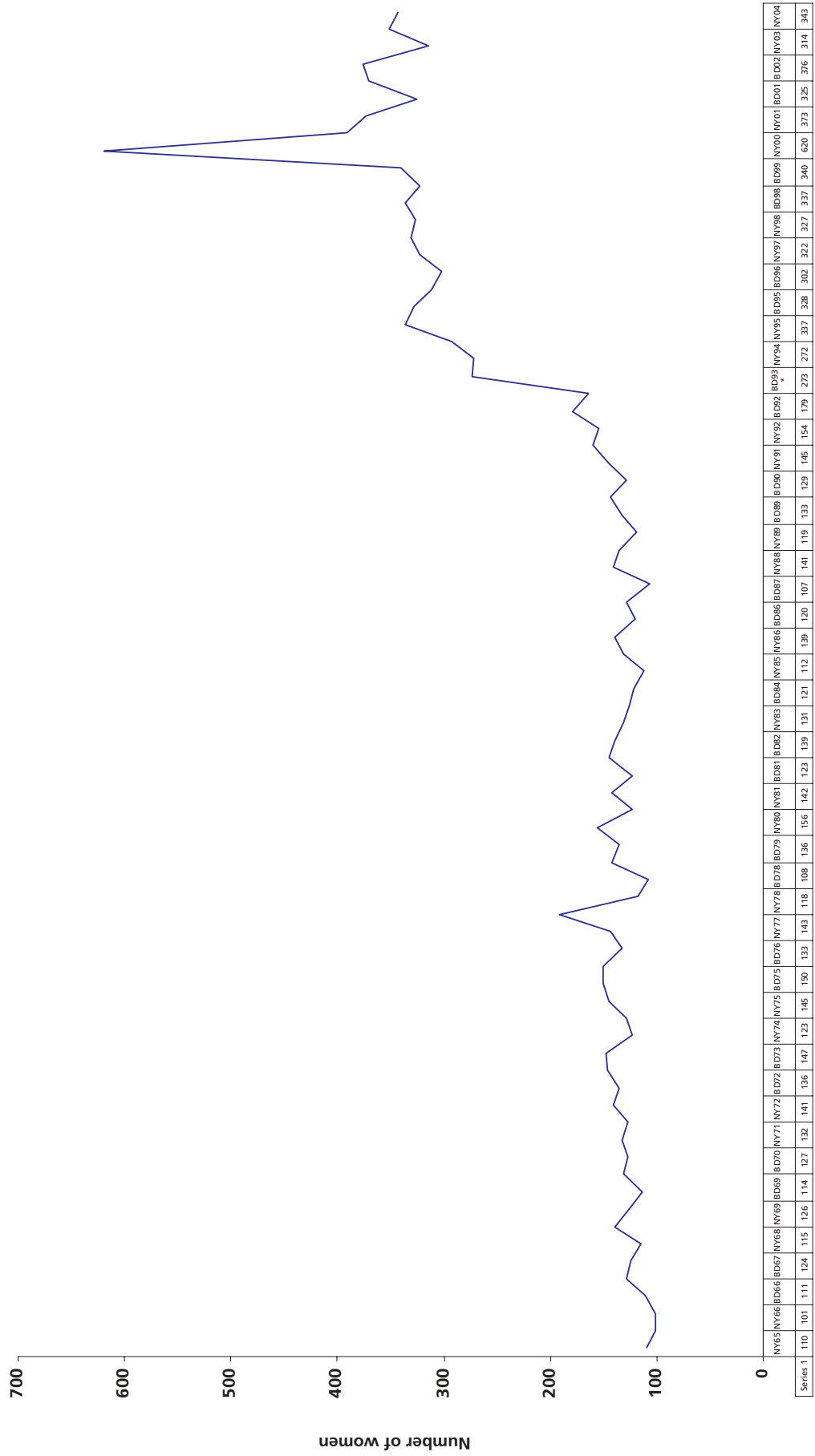
B region in current use, since 2003.

## Successful candidates with public support BD 1999 – NY 2004

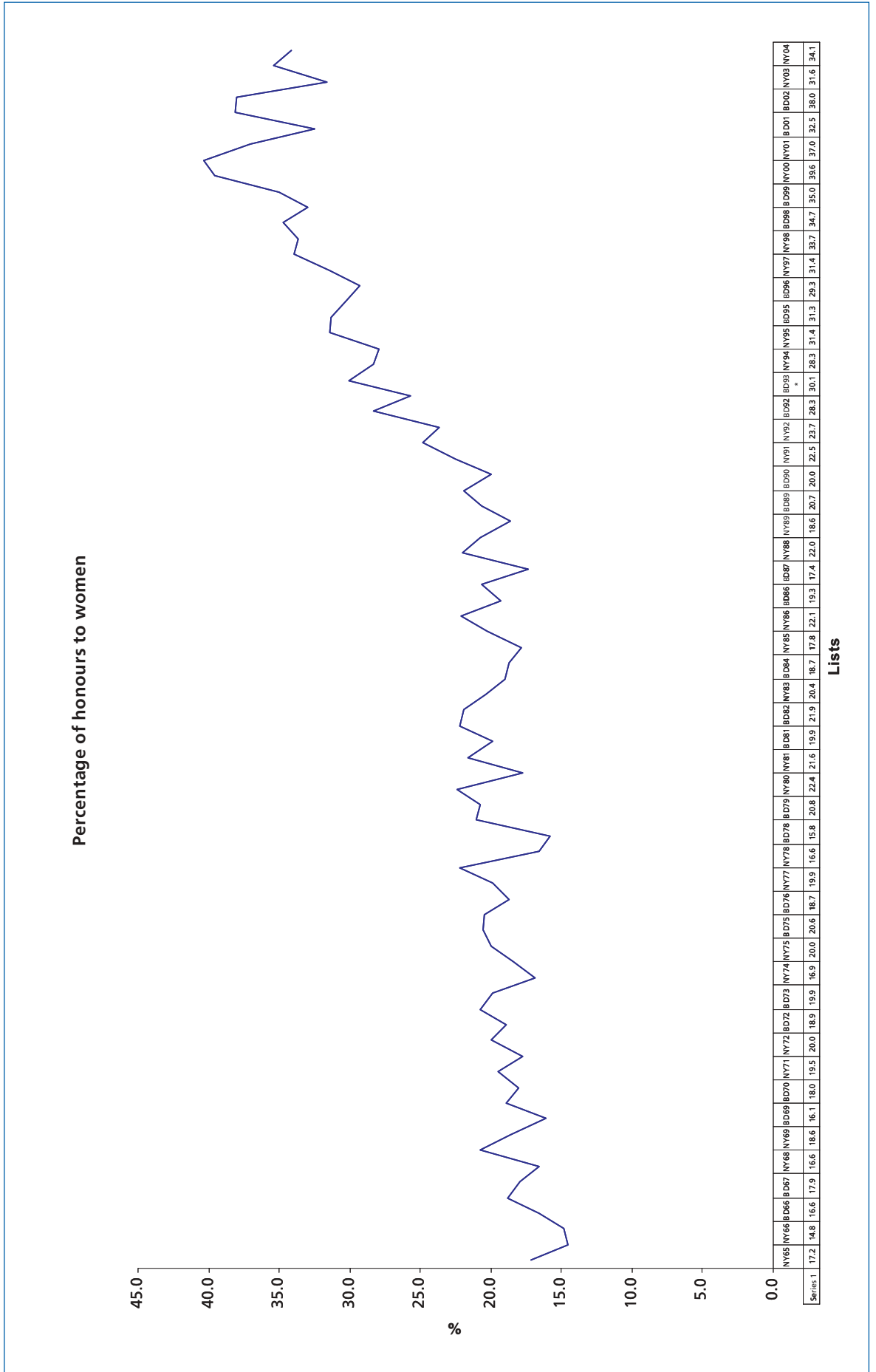
LIST	CH	K/D	CB/CMG	OBE	MBE	TOTAL	% OF LIST
BD99		3	24	68	333	438	44%
NY00		17	34	106	507	664	44%
BD00		14	24	75	306	420	42%
NY01		19	27	67	345	453	45%
BD01		16	28	81	329	454	46%
NY02		13	36	69	333	451	46%
BD02		18	32	78	340	462	47%
NY03		14	27	109	342	492	50%
BD03		14	32	87	372	505	52%
NY04		8	32	80	331	451	46%



Honours to women



Lists



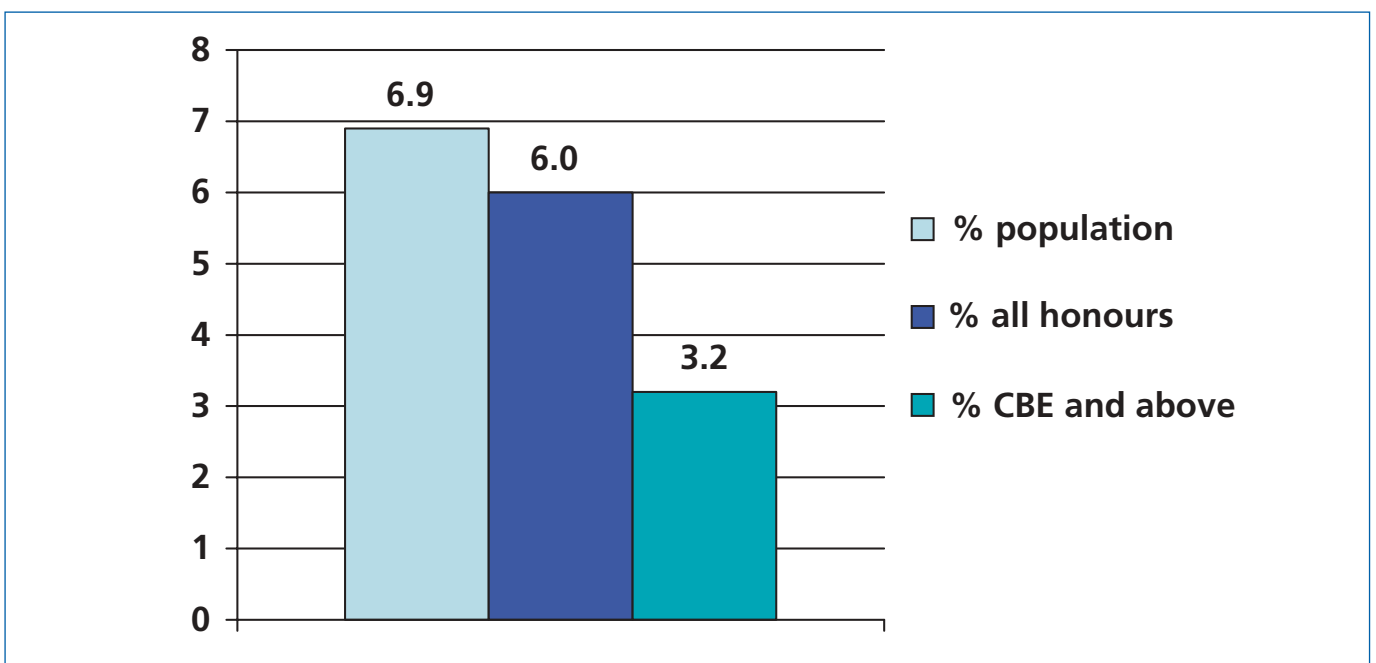
Lists

## Successful black and minority ethnic candidates NY 1996 – NY 2004

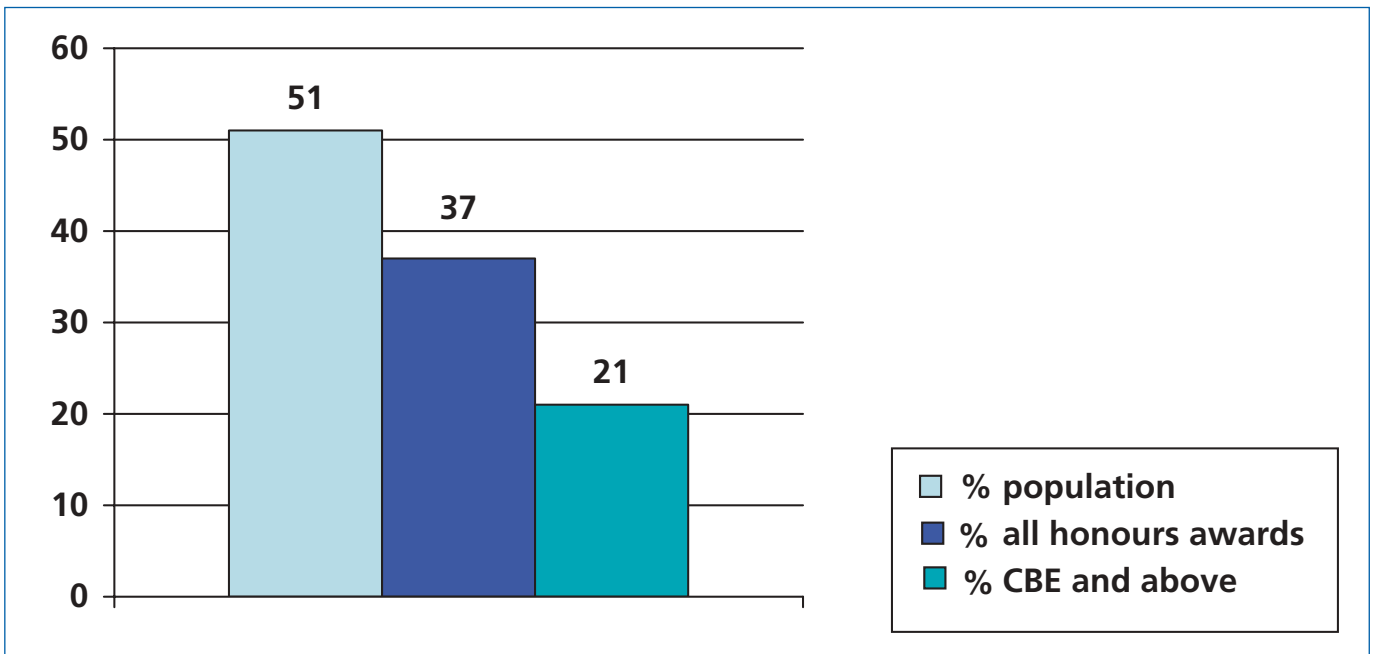
LIST	K+	C level	OBE	MBE	TOTAL	% OF LIST	% at C+
NY96		2	3	17	22	2.2%	1.2%
BD96	1	1	6	20	28	2.7%	1.4%
NY97	1	1	1	21	24	2.5%	1.4%
BD97	3	3	5	14	25	2.5%	4.2%
NY98		3	3	10	26	2.6%	2.0%
BD98	2	2	7	30	41	4.0%	2.8%
NY99	2	3	12	36	53	5.3%	3.3%
BD99	2	4	10	26	42	4.2%	4.0%
NY00	2	8	18	51	79	5.1%	4.8%
BD00		2	16	34	59	5.9%	1.3%
NY01		4	19	32	55	5.5%	2.6%
BD01	1	7	14	34	56	5.6%	5.2%
NY02	3	3	19	29	55	5.4%	4.0%
BD02	2	4	10	39	55	5.6%	3.8%
NY03	1	2	11	50	64	6.5%	1.9%
BD03	3	4	17	44	68	7.0%	4.3%
NY04		4	13	39	56	5.7%	2.6%

## Statistics on diversity and nominations

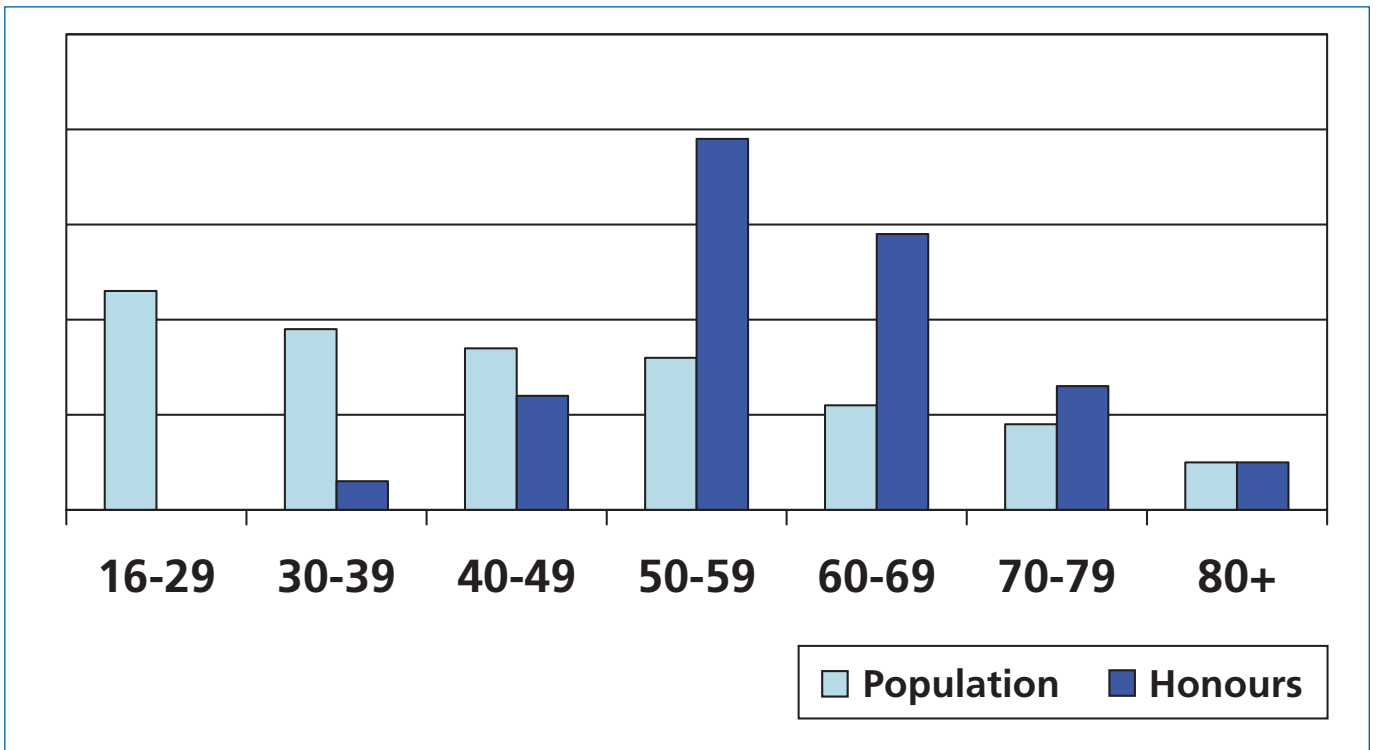
### Awards to minority ethnic groups



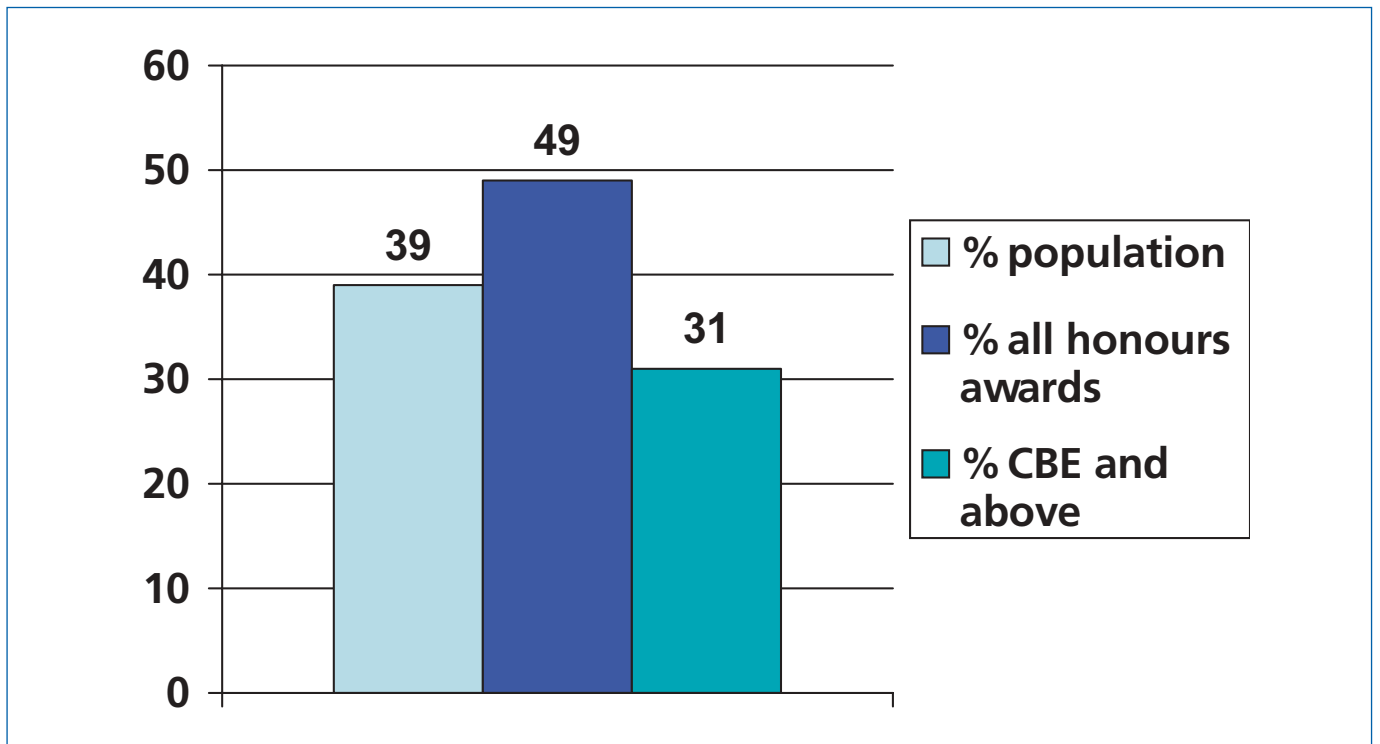
### Awards to women

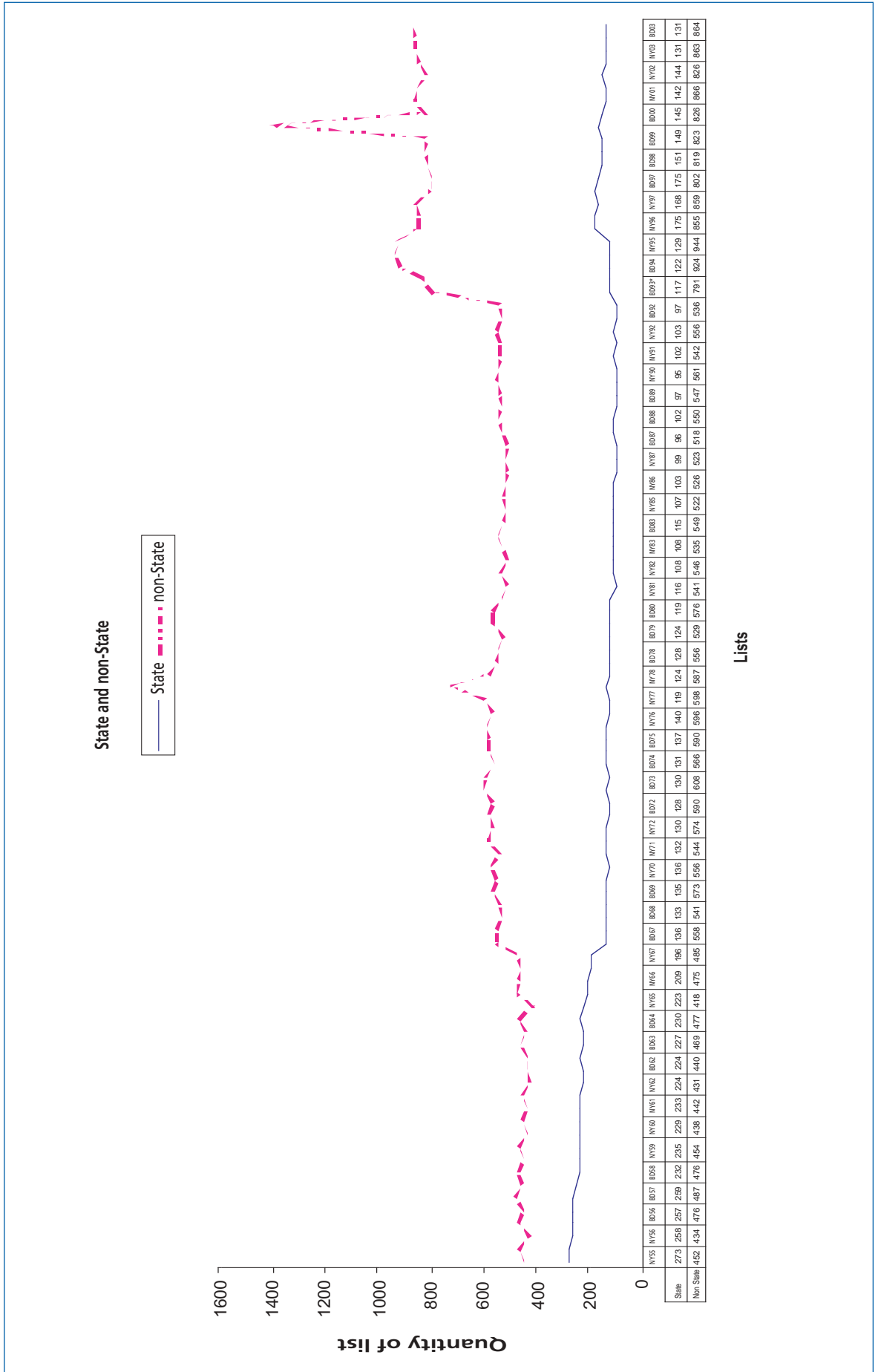


### Age distribution of UK population and honours awards



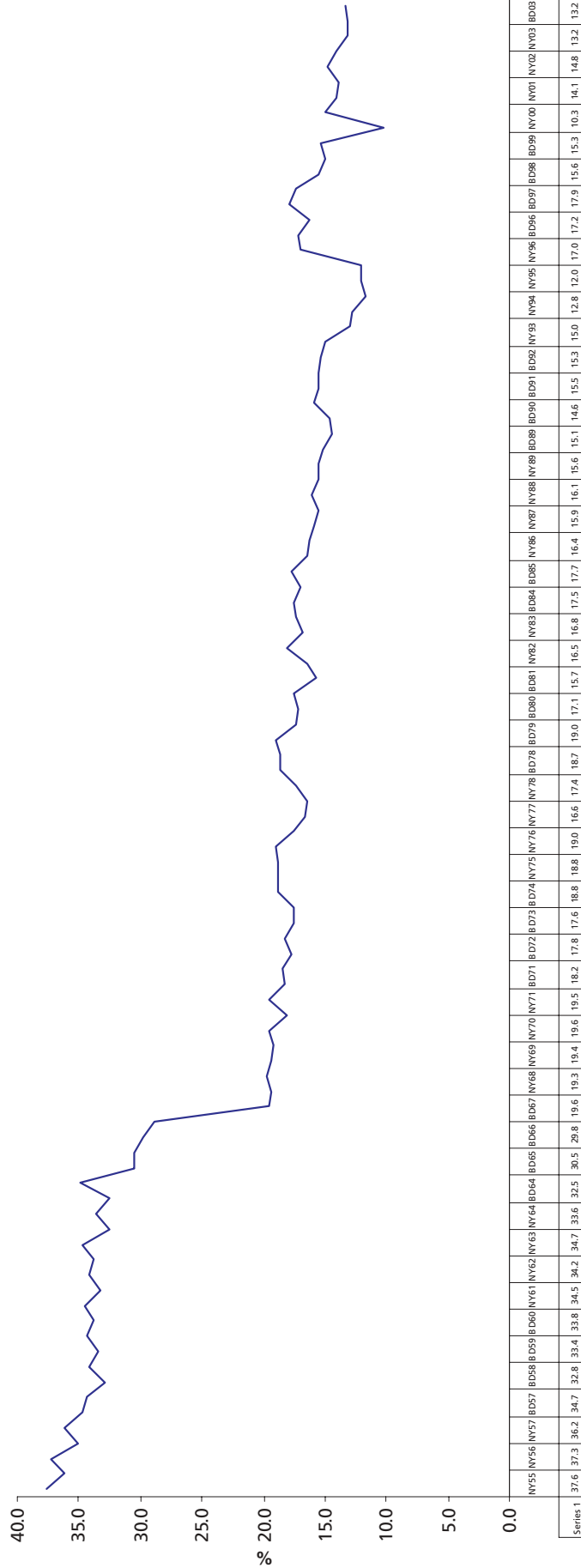
### Awards to volunteers





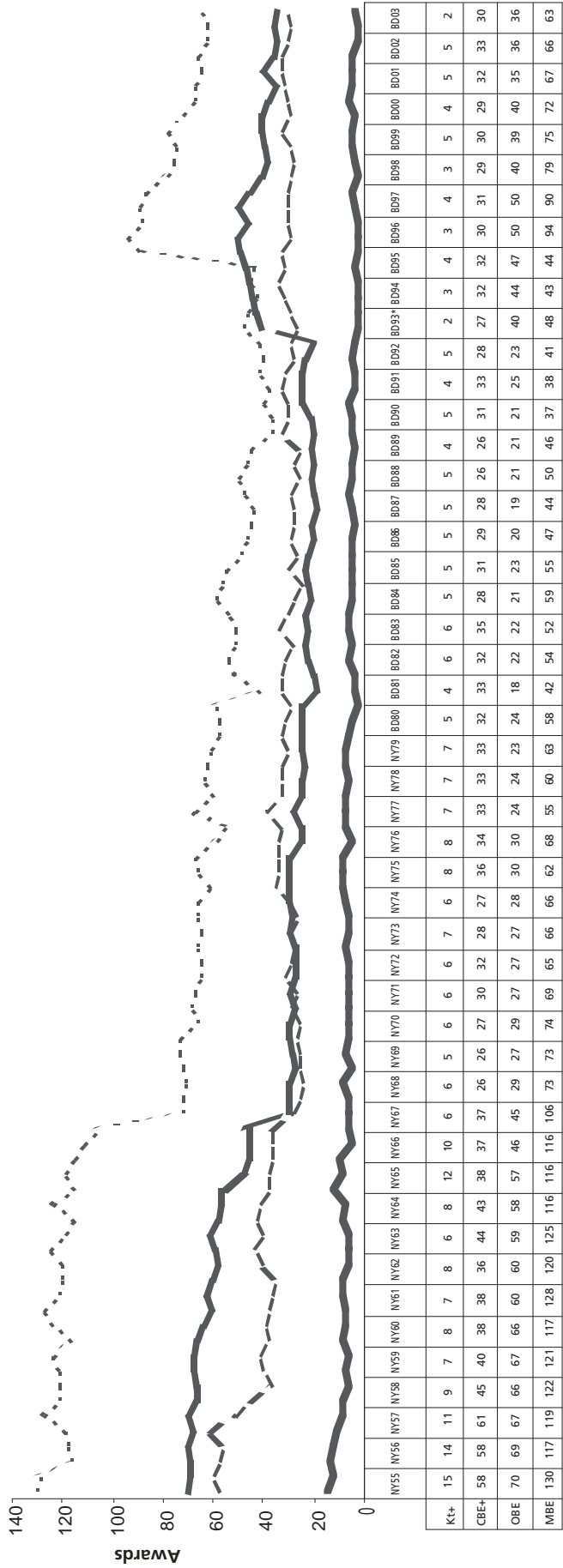
Lists

### State statistics



### Lists

State statistics by level



Lists



## Refusals BD 1999 – NY 2004

List	Refused	Total	% list
BD99	29	972	3.0%
NY00	28	1565	1.8%
BD00	28	971	2.9%
NY01	21	1008	2.0%
BD01	29	999	2.9%
NY02	17	970	1.8%
BD02	12	990	1.2%
NY03	17	994	1.7%
BD03	20	995	2.1%
NY04	24	1005	2.4%

## Annex 7

### Re-configured committees

#### ARTS

##### *Architecture*

- Architects, in private practice and the public sector
- Officials of architectural bodies, for example, RIBA
- Professors of architecture

##### *Art*

- Art galleries staff, including directors
- Art historians
- Arts Council staff
- Bookbinders
- Calligraphers
- Designers, including designers of coins and stamps etc.
- Embroiders
- Floral artists
- Industrial designers, including fashion though some may be on ACI
- Museums staff, including directors
- Officials of arts bodies, for example, Royal Academy
- Painters
- Photographers
- Potters
- Sculptors
- Sponsors of the arts
- Stained glass craftsmen

##### *Dance*

- Choreographers
- Dancers
- Teachers of dance (excluding those in schools covered by Education)

##### *Drama*

- Actors
- Designers for the stage, television, screen etc
- Directors
- Entertainers
- Managers
- Organisers of drama festivals
- Producers
- Teachers of drama (excluding those in schools on Local Services (Education))

*Literature*

- Authors and writers
- Editors of literary magazines
- Literary critics
- Organisers of literary festivals
- Novelists
- Playwrights
- Poets

*Music*

- Composers, conductors, instrumentalists (solo and orchestral)
- Conductors of choirs and adjudicators
- Instrumental craftsmen, for example, makers of instruments
- Officials of festivals and local music or choral societies
- Staff of music academies and colleges
- Professors of music or instruments
- Singers
- Teachers of music (excluding those covered by schools in Education)

*Media*

- Advertising managers
- Cartoonists
- Chairmen
- Critics
- Editors
- Freelance writers
- Journalists in every category
- Journalists' trades unions
- News broadcasters on television and radio
- News managers
- Newspaper correspondents in every category
- Photographers
- Press gallery members
- Proprietors
- Public relations
- Staff of general subject magazines
- Staff of press and news organisations
- Television and radio management and staff

**SPORT**

- Coaches
- Referees
- Sportsmen and women at national, regional and local level
- Sports administrators
- Umpires

## HEALTH

Ambulance service staff  
British Red Cross Society staff  
Consultants  
Doctors in industry  
Forensic scientists  
General dental practitioners  
General medical practitioners  
Governors of post-graduate teaching hospitals  
Health related professionals for example physiotherapists, occupational therapists, speech therapists etc.  
Medical Research Council staff  
NHS staff  
Opticians  
Pharmacists  
Professional bodies' staff, for example, Royal College of Surgeons  
Professors of medical faculties  
Radiologists  
Regional Health Authority staff  
St Andrew's Ambulance staff  
St John Ambulance staff  
Surgeons  
Toxicologists

## EDUCATION

Academic writers, scholars, researchers (if not covered by other committees)  
County and local education committees and authorities  
Governors of schools and colleges  
Learning Skills Councils and Learning Enterprise Councils  
Officials of learned societies  
School and college ancillary staff (including school crossing wardens caretakers)  
Staff of education bodies  
Teaching unions  
Staff of further and higher education establishments  
University teaching staff (apart from medicine, science, architecture, art drama and music)  
Teachers (excluding those not based in schools)

## SCIENCE AND TECHNOLOGY

Arctic explorers with a scientific purpose  
Astronomers  
Biologists, botanists and zoologists  
Economists  
Engineers  
Environmental scientists  
Geographers/geologists  
Mathematicians  
Psychologists  
Scientific, but not administrative staff of UKAEA  
Social scientists  
Staff of most Research Councils  
Staff of the Royal Society  
Technologists

## THE ECONOMY

Accountancy  
Adult employment related training  
Agricultural and veterinary colleges  
Agricultural executive committees  
Animal health  
Banking  
Chambers of Commerce  
Communications industry  
Confederation of British Industry  
Co-operative movement  
Dealers  
Defence industry  
Engineering industry, but engineers are on Science and Technology  
Entertainment industry proprietors, administrators and other non-artistic staff  
Farmers and farm workers  
Farming unions and federations  
Fishing industry, trawling etc  
Forestry  
Garden designers  
Horticulture  
Hotels  
Industrial Training Boards  
Insurance industry  
Lawyers in industry and management  
Manufacturing and processing industries  
Motoring organisations  
New Town Development Corporations  
Postal workers  
Power industries  
Publishing industry  
Regulatory bodies for example; Ofgem, Ofcom, Ofwat, etc.  
Retail industry  
Shipbuilding industry  
Stock Exchange personnel  
Surveyors and quantity surveyors  
Tourism  
Trade marks  
Trades unions  
Transport industry:  
    Buses and coaches  
    Canals  
    Civil aviation including test pilots  
    Merchant navy  
    London transport  
    Ports, docks and harbours  
    Railways  
Roads (excluding highway surveyors and county borough surveyors on Local Services (Local Government)  
UKAEA (non-scientific)  
Valuers  
Veterinary staff  
Water Boards

## COMMUNITY, VOLUNTARY AND LOCAL SERVICE

### *Law and order*

- Bar Council staff
- Barristers and solicitors
- Boards of Prison Visitors
- Children's Panel staff
- Clerks of Court and Clerks to the Justices
- Community/race relations workers
- Coroners and staff
- Drug awareness organisations
- Inspectorates of Constabulary
- Judges, including Justices of the Peace and Sheriffs in Scotland
- Law Society staff
- Legal Services Commission staff
- Legal executives
- Magistrates courts staff
- Members of police forces and police civilians
- Neighbourhood Watch
- Police authorities
- Prisoner welfare
- Probation service
- Recorders and Scottish Sheriffs

### *Local government*

- Fire service
- Highway surveyors and county borough surveyors
- Library staff
- Local government elected members, officials and staff
- Social workers
- Valuation tribunal staff

### *Benefactions*

- Those who give money (and services) to charitable causes

### *Community service*

- Animal welfare organisations
- Charity workers
- Citizens Advice Bureaux staff
- Civic societies
- Civil defence
- Coastguards
- Conservation organisations, including heritage and environmental bodies
- Consumer councils
- Credit Unions
- Disablement advisory committees
- Homeless people's charities and organisations
- Housing associations and social housing
- Mountain rescue
- NAAFI central and local organisations
- National Rivers Authority staff
- Road safety
- Royal National Lifeboat Institution
- Salvation Army
- Services to ex-servicemen and women (for example, Royal British Legion and SSAFA)
- Transport Users' Consultative Committees
- Women's Institutes and Town Women's Guilds
- WRVS
- Youth organisations (for example Scouts, Air Training Corps, Army Cadets Corps, Sea Cadets etc.)

*Miscellaneous*

- Anglo-overseas societies
- British Waterways Board
- Crown Agents staff
- Equal Opportunities (except in companies on Economy)
- International bodies (but be aware of the international rule)
- Meteorological Office observers
- OXFAM and other overseas charities' staff serving overseas
- Royal Observer Corps
- VSO
- YMCA and YWCA

**STATE**

- Home Civil Service (including agencies and non-ministerial departments)
- Devolved administrations
- Staff of the Houses of Parliament

## Annex 8

### Generic examples of citations

#### Female MBE

For services to Oxfam in Berkshire

She works as volunteer shop manager for Oxfam in Blankton, Berkshire, one of the most profitable volunteer-run Oxfam shops in the country. The shop has no paid staff and yet has managed to increase its sales by 25% in the last three years. She is an energetic, enthusiastic and above all committed volunteer who has given years of service to Oxfam's work with the poor and oppressed. She is the face of Oxfam in her community and her leadership and support has built a team of over 50 volunteers in the shop. She has also played a leading role in fundraising activities and community work in the area. This has included leading a team of volunteers running an adult group for physically disabled people and those with learning difficulties. She co-founded and has helped to run the club, a sub group of the Handicapped Children's Organisation, since 1984. The club is made up of approximately 50 members aged between 16 and 70. She organises three annual parties to which carers and parents are invited, organises trips, outings and holidays, thereby helping to integrate disabled people into the community.

#### Male MBE

Gardener, Chesterburgh Foundation Garden Village. For services to the community in Chesterburgh, Warwickshire

He has served as a gardener for the Chesterburgh Foundation Garden Village for 30 years. The village was built by the Foundation over 100 years ago. It provides homes for 2,500 people and remains an outstanding example of the Garden Village concept. He was appointed lead gardener in 1981 and heads a team of five staff responsible for the maintenance of the communal areas. His work regularly extends well beyond any normal call of duty and is universally admired by the villagers. He engages in a wide range of community activities, such as the summer fair, as well as providing practical and personal support on a one-to-one basis to older and younger residents alike. He is also involved in the restoration of the local town theatre. His persuasiveness and infectious enthusiasm encouraged people to volunteer as friends of the theatre, to assist in raising money for restoration work and to man the front of house. This organisation has grown from strength to strength and is now a driving force behind the running of the theatre.



## Male OBE

For services to the community in Longfield, Lincolnshire

He has been involved with a wide range of organisations in Longfield, Lincolnshire over a number of years, involving contacts and skills built up over a long period in the business world. As chair of the town partnership, he leads a public/private/voluntary sector partnership in tackling problems and opportunities in a strategic and coordinated way. The partnership has set up a wide range of successful projects including the New Deal for Young People. In these and many other projects, he uses his contacts to ensure there is widespread engagement in the project by business and other sectors. He helped to set up St Bernadette's Hospice 16 years ago, and is currently chair of the board. Over this time he has actively sought the support of others from the corporate sector. He has spoken enthusiastically to a variety of audiences about the work of the hospice, and finds time to give quiet and subtle support to patients and carers. For the Fire Service Trust Appeal, he has served on the committee since 1990, as chair since 1999 and has been responsible for raising large sums of money as well as raising the profile of the Trust. He has supported the imaginative Bridge to Business project, encouraging students to seriously consider a career in business, where they take lectures from business managers, and then gain experience through work placements. He is a governor of Green Hill Special School, attending the school on a weekly basis. He has encouraged the school's entrepreneurial activities at an academic and practical level, and is an unfailingly wise contributor to the school's strategy, as well as contributing financially to several of its projects. He currently serves as a Deputy Lord Lieutenant of Lincolnshire.

## Female OBE

For services to the community in Westmead, North Yorkshire and to the Girl Guide Movement

She has made a big difference to community and environmental development in Westmead, North Yorkshire, and more widely. She joined the local branch of the Women's Institute (WI) in 1970, quickly becoming secretary, a position she held until 1993. She is currently a trustee and president of the local WI. She has been in the Girl Guide Movement since 1965, and is currently still actively involved holding various posts including training officer and programme adviser. She still speaks at Guide events in the county and helps with activities at international camps. Additionally, she has written a number of publications for the movement and has represented UK Guiding abroad. She has been a director of the North Yorkshire Canals Group Trust since 1999. Her efforts have enabled them to extend their work on community development, environmental enhancement and education to new audiences. In 1987 she was appointed as a Justice of the Peace to the town bench, where she is still a serving member, and appointed to the Advisory Committee of the Bench, of which she became chair in 1997. She has ensured that the right people have been found for the magistracy from a cross section of the population. Despite ill health, she has maintained her commitments to all the organisations with which she is involved and continues to provide valuable service to the community.

## Female CBE

For services to disabled people and to the community in North Devon

She is chair of Access, an organisation providing advice to the county council and to planners on disabled access in building design. In 1985 this work was complemented by her election to the board of the Organisation for Accessible Environments which provides similar guidance to a wider audience. She became vice-chair and did much to raise awareness of the needs of disabled users amongst planners and architects. She has also served in a voluntary capacity in senior positions for a variety of organisations, ranging from the waterways, local government and education. She has been a member of the West Marsh Authority in North Devon since it was set up in 1986, and its chair since 1996. The Authority manages protected wet land, working to conserve and enhance its natural beauty, promote its enjoyment and protect the interests of navigation. She commands the respect of all the members of the Authority through difficult debates on how its land should be managed, and is not afraid to make difficult decisions. She has been a member of the district council since 1983, chairing several committees while focusing particularly on planning and the environment. She served as chair of the council in 1996-97. She has been a board member of the Area Tourism Agency since it was established in 1989, and chair since 1994. Under her guidance, it has developed into a respected and effective marketing agency, generating income and jobs for the local community by developing and promoting tourism. She is also a Deputy Lord Lieutenant, and a member of the district health authority. The success of many of the above bodies has been built on the trust and respect she has maintained with all parties, through her considerable talent of keeping diverse interests focused on common objectives. She is deputy chair of the Greater Village Regeneration Trust, and was a deputy director of the Education Company from 1990 to 1995.

## Male CBE

For services to education in the North Region

He has worked as a practitioner, teacher, academic and consultant to a wide range of groups, voluntary organisations and local authorities for over 40 years. His pre-eminence in the field was recognised in 1995 by his appointment as the first chair of community education in the North region. For many years he has given his time voluntarily, teaching youth work methods and techniques to managers, staff and volunteers of the YMCA. He has chaired a number of national committees including the North Region Council of YMCA's training and development committee and the Prince's Trust for the region. He served for six years as an unpaid board member of District Learning North and also as a member of the North Region Youth Work Partnership. He was the founding editor of the journal *Northern Youth Matters*. He has also had an eminent career in the statutory sector, which led to the post of assistant director of education for the district, with responsibility for community education. He set up and remained, until retirement, the director of the Centre for Youth Work Studies at the University of Northland. He initiated and organised a biannual international conference for field practitioners, managers, researchers and academic staff members. The 2003 conference involved colleagues from eastern Europe. He has been proactive in the teaching, organisation and direction of multilateral seminars for eastern European youth workers for the last four years. He has been instrumental in taking forward wider understanding and development of the value of community education, most recently leading a piece of work commissioned by the government, to define the purpose of youth work and measure performance.

## Knighthood/Dame

For services to health, law and order and education

Since retiring from a successful career in accountancy, he/she has played a leading role in three different areas of activity. In 1989 he/she became a member of the Southland Health Care Trust and was appointed chair in 1990. Prior to his/her appointment the trust had been struggling both financially and in achieving its health care targets. He/she quickly turned things around by setting up a finance sub-committee to ensure the future wellbeing of the trust's finances. He/she also introduced a streamlined admission system for patients which has proved so successful that it has been identified as an example of good practice and is now adopted by health trusts nationally. He/she stepped down as chair in 1998 but continues to sit as a board member. In 1998 he/she was appointed as a non-executive and unpaid member of the Police Service Strategy Board, now known as the Strategy Board for Crime Prevention. In this capacity he/she advised the director general of the board on the use of the private sector within the police service. His/her work in this area has helped bring about the more effective use of special constables and neighbourhood watch coordinators. He/she has also encouraged closer liaison between the police and community leaders. He/she is currently a member of the Home Office management board and is playing an important role in the modernisation of the Home Office. In 1999 he/she became a member of the council of the University of Northland and was soon appointed chairman and pro-chancellor. Since then he/she has skilfully led the university through a challenging period of dwindling resources combined with the introduction of tuition fees and has maintained confidence and stability. Indeed during his/her term of office, he/she has significantly improved the quality of management and has established the university as a major contributor to regional economic development. It is now top of the UK league in terms of access by students from lower socio-economic groups.

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