

THIRD REPORT ON OPERATION OF THE REFORMED HONOURS SYSTEM

Note by the Cabinet Office

1. In its response to the Reports by the Public Administrative Select Committee (A Matter of Honour: Reforming the Honours System, HC212 – 1 July 2004) and Sir Hayden Phillips (Review of the Honours System, Report to the Cabinet Secretary of July 2004) the Government said (Reform of the Honours System, CM 6479 of February 2005) that it believed it would be right for a report on the honours system to be published every three years. The first report was published in 2008; the second in 2011.
2. This is the third report. It focuses on the way the system has continued to develop over the last three years. The main changes have been:
 - The reintroduction of the British Empire Medal, allowing a 30% increase in the overall number of honours awarded (*page 2*).
 - A revised distribution of honours, including an increased allocation of honours to recognise more outstanding headteachers, following the Quinquennial Review of Honours in 2013 (*page 3*).
 - Improved gender balance in the honours lists (*page 5*).
 - Increased outreach efforts to improve the diversity, transparency and public understanding of the honours system (*page 7*).
 - Longer published citations for those receiving the highest awards (*page 9*).
 - More extensive background checks on potential honours recipients (*page 9*).
 - The creation of a new honours committee to cover Political and Parliamentary Service (*page 10*).
 - Increased efforts to identify and honour philanthropists (*page 11*).
 - An increased number of forfeitures (*page 11*).
 - A limited return to former custom whereby the Prime Minister is able to recommend honours candidates directly to Her Majesty The Queen (*page 13*).

3. Each of these changes is covered below. The Annexes provide supporting data and definitions.

The Re-introduction of the British Empire Medal (BEM)

4. On 29 October 2011, the Government announced the re-introduction of the BEM. Its use had been discontinued in 1993 when it was thought that the difference between the MBE and the BEM had become increasingly tenuous. However, experience since its discontinuation showed that the type of very local community service previously recognised by the award of a BEM was not properly being reflected by awards of MBEs. In order to expand the honours system and encourage more people to engage with the system and to spread honours more widely, it was decided to re-introduce the BEM. The BEM rewards local volunteers and others who provide public or community services locally, helping to build the Big Society, and whose contribution deserves to be recognised. The BEM can also reward younger people with shorter service, who find it difficult to compete for the higher levels of award which generally go to people with experience in recognition of many years of service or achievement.
5. The first awards were made at the time of the Diamond Jubilee Honours List in June 2012. Since then, and up to the Birthday List in 2014, 1,503 BEMs have been awarded, some 280-300 BEMs in each honours round, the majority to people who are helping to build stronger local communities. BEMs cross all boundaries: they are awarded to a range of people of all ages from different backgrounds and for a variety of services. For example:
 - Dorothy May Fisher, 84, for services to animal welfare and the community in Cornwall. Mrs Fisher has given passionate support to animal welfare for over 50 years. She has raised hundreds of thousands of pounds and educated children in animal care and caring for the wider environment, so producing an ongoing legacy.
 - Emma Hamlen, 30, for services to young people. As a Youth Offending team volunteer, Miss Hamlen has made a real contribution to the reduction of crime in Lancashire, working with young people, their families and carers and in schools to provide young offenders with constructive activities to divert them away from criminal activity.
 - Matthew Milnes, 28, for services to the community in Bradford. Mr Milnes was the youngest community association chair in the country when he established Scholemoor Community Association in 2004. He has been transformational in improving the area through his tenacity

and extensive voluntary work. He began volunteering at the age of 14 and raised £400,000 to transform a derelict site into a new sporting facility for the estate so that all members of its diverse community could benefit.

- Meena Kumari Dhawan, 51, for services to the Royal Mail and the community in North London. Mrs Dhawan has liaised with local schools and community groups in the boroughs where she lives and works for the Royal Mail. Her charity work encompasses activities over 20 years, beginning with fundraising for a safe playground to her latest activity which raised £70,000 for Great Ormond Street Hospital.
- Colin Gardiner, 64, from Dunbartonshire, for services to maritime safety. As the operations manager of the Helensburgh lifeboat, he is leader of a 20 strong all-volunteer crew and has made an enduring contribution to maritime safety in Helensburgh and around the UK. He has spent up to 15 hours per week at the lifeboat station, recruiting, motivating and training his crew.
- Dharam Bir Lall, 80, for services to the community and local businesses in Essex and the London Borough of Newham. Mr Lall has promoted Anglo/Indian relationships and privately mentored young men from challenging backgrounds. As chairman of the Newham Chamber of Commerce, he has played a crucial part in helping develop business partnerships in ethnic communities.

6. Lord-Lieutenants present recipients with their BEMs locally. Those awarded BEMs are also invited to a Royal Garden Party.

The Quinquennial Review

7. Every five years, the Honours and Appointments Secretariat in the Cabinet Office conducts a review to examine the allocation of honours. The Quinquennial Review is guided both by the priorities set by the Prime Minister who has a key role in giving strategic guidance to the honours committees; and by changes to the sizes of the workforces in each sector of the economy. The review then allocates honours among the specialist honours committees accordingly as well as distributing honours between the three honours lists (Prime Minister's list, Defence Services list and the Diplomatic Service and Overseas list).
8. The last Quinquennial Review was undertaken in December 2012. In addition to the normal criteria of excellence and achievement, the review reflected the

Prime Minister's desire to highlight the important link between work in support of the Big Society and the honours system. In particular, the Prime Minister wanted greater prominence to be given to philanthropists who make a difference to the Big Society through sustained personal engagement. In summary, the main changes introduced in the 2012 Quinquennial Review were:

- The creation of up to 200 additional British Empire Medals per annum (to give a total possible allocation of 800 per annum), with an equivalent reduction in the number of MBEs. These were allocated to the Community, Voluntary and Local Service Honours Committee to reward very local community service.
- An increase in the number of Knight- and Damehoods (from eight to twelve per annum) allocated to the Education Committee and an increase in the size of the "pool"¹ of Knight- and Damehoods (from nine to twelve per annum) for non-State servants. These changes were intended to allow more outstanding headteachers and more philanthropists to be honoured at this level.
- Reductions in the allocation of honours to the State Committee, to officials on the Foreign Secretary's List and to the Defence Secretary's List. These were intended to reflect the reduced size of the Home Civil Service and the armed forces; to respond to Government priorities for honours; and to move towards greater (but not complete) parity of treatment between state servants. Those state servants who serve abroad in difficult conditions continue to have a better chance of being honoured than those based in the UK.
- A reduction in the allocation of honours for non-State servants on the Foreign Secretary's List, which has been underused in recent years.
- A transfer of honours arising from these reductions to the Community, Voluntary and Local Service Honours Committee, in order to allow greater recognition of Big Society candidates. About half of all honours are allocated to this committee.
- Ensuring an equitable pool of nominations to the honours committees, so that the citations put before them properly reflect the representation of women in the relevant workforces: experience has shown that women are unlikely to get close to fair representation in the honours

¹ A "pool" of awards at Dame/Knight and Commander levels is available for use by the Main Honours Committee to enable it to include candidates who are under consideration by more than one committee and so might be in danger of being overlooked.

lists unless departments are set targets for bringing forward female nominations. The honours committees themselves have continued to make their selections entirely on merit.

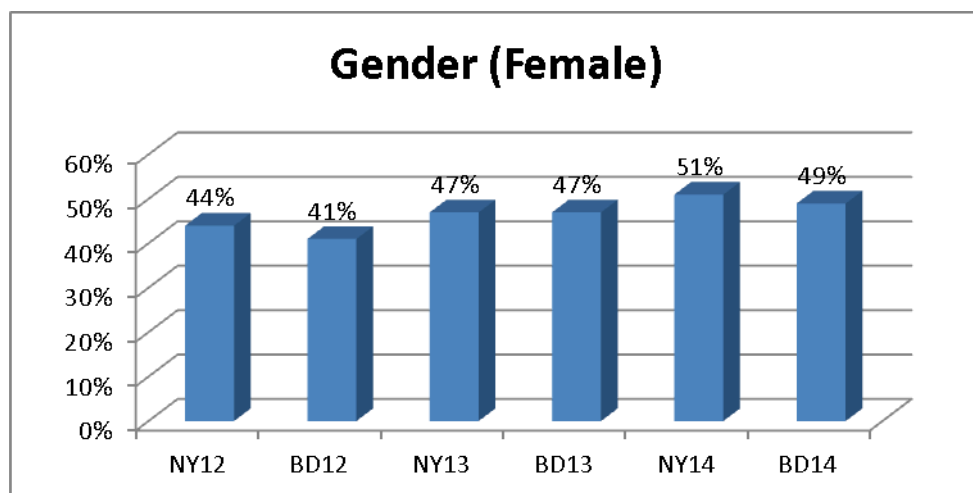
9. Implementation of the majority of the recommendations began from the Birthday 2013 honours round; those relating specifically to the FCO and MOD began at New Year 2014. The Quinquennium runs until Birthday 2018 inclusive. The detailed allocations arising from the Review are shown at Annex 3.
10. Charts showing the allocations of each award per committee are set out in Annex 4.

The Shape of the Honours Lists

11. One of the aspirations of the honours system is to ensure that each honours list is as representative as possible of outstanding service and achievements across the UK, in the public, private and voluntary sectors. Various facets of diversity – gender, region, ethnicity – are monitored, although the criteria of service and achievement are the primary considerations.
12. Since our last report, 239 Damehoods and Knighthoods have been published on the Prime Minister's List. There were 652 awards at C level, 1419 at OBE, 3098 at MBE and 1503 at BEM. There were 7 appointments as a Companion of Honour.

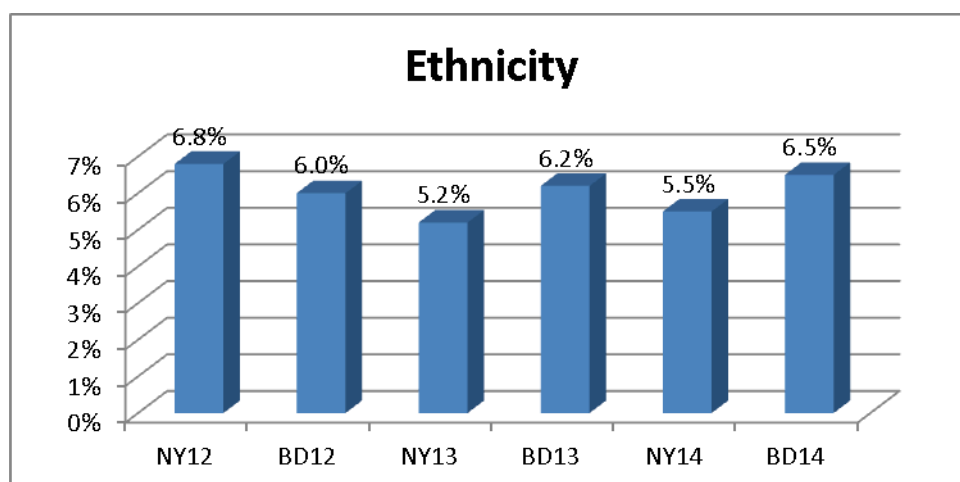
Gender

13. As a result of sustained efforts by all government departments, there has been an increase in the proportion of successful female candidates. During the period of the second Report (from 2008-2011), there was an average of 43.5% awards to women in total. In the period of this report, there was an average of 46.5% awards to women in total and for the first time in New Year 2014, awards to women reached over 50%.



Ethnicity

14. The percentages of awards going to candidates from Black, Asian and other Minority Ethnic (BAME) communities during the period of the Report are given below.



15. The number of successful candidates from a BAME background at the last list was 6.5%, a slight increase on previous lists. This compares with a BAME representation in the UK of around 14%. A slightly lower percentage in terms of honours share should be expected as the majority of honours are awarded in recognition of long-standing commitment to service and so tend to be awarded to people with some years of experience. As the BAME cohort ages equalise with those of the white population, we would expect to see changes in the distribution of honours amongst ethnic groups. We are encouraging this with our outreach efforts to the BAME community (see paragraph 18).

Increased outreach

16. For more than twenty years, any member of the public has been able to nominate anyone for an honour. We are continuing to work hard to get that message across, as too many people still do not fully understand how the system works, and some parts of the country receive fewer honours than the size of their population merits. We want everyone to know that anyone can nominate someone for an honour and we want to ensure that honours are distributed as fairly as possible across the UK's diverse population. We have especially targeted those groups which have been under-represented, increasing our outreach in particular geographical areas and to women and ethnic minority groups. A note of the presentations the Secretariat has undertaken over the past 3 years is attached at annex 5.

Women's Institute

17. Since 2012, we have had a joint initiative with the Women's Institute (WI) to increase the number of honours nominations for women. The WI has carried information about the honours system in its regular mailings, given publicity to WI members who have received honours, and invited the Honours and Appointments Secretariat to give presentations to its regional committee meetings. We have also produced new honours leaflets targeted specifically at women. Partly as a result of these efforts, the share of honours going to women reached over 50% (51%) for the first time in New Year 2014, though there is still work to do to get more honours for women at the higher levels.

Black, Asian and other Minority Ethnic (BAME) communities

18. We have given a series of presentations to Black, Asian and other Minority Ethnic (BAME) groups. These have included the Network of Networks (TNON) event hosted at the House of Lords by Baroness Howells; a number of presentations on 'Demystifying the Honours System' led by a BAME Honours Committee member, Dr Yvonne Thompson; outreach during Black History Month; and a Women4Africa² event. In consultation with our BAME committee members, an honours leaflet has been produced specifically targeted at the BAME community.

Media activities

19. The honours system has featured in two television programmes. In 2012-13 we worked with the Wall to Wall TV production company to produce a

² A networking group that brings together African women, looking at a variety of subject areas.

programme on the British Empire Medal, featuring recipients from around the country. The programme was watched by 2.5 million viewers during its first showing on ITV, and was repeated a week later. Separately, the BBC [has](#) featured honours recipients in a special edition of *Songs of Praise* looking at the impact of their faith on their voluntary work; and Sky will shortly broadcast a feature focusing on BAME honours recipients.

20. The regional media are always briefed when the honours lists are published to encourage them to feature stories about local recipients. Twice a year, before the publication of the New Year and Birthday honours lists, about 100 case studies are distributed to local media around the country. A specific list of recipients from London is provided for the Press Association.
21. A campaign targeted at the media outlets in those regions where the number of nominations is lowest resulted in coverage which included 22 radio interviews with a listenership of 3.76 million; 27 internet stories with an average of 1.08 million hits; and 16 newspaper stories with a circulation of over 360,000. The campaign included the provision of case studies of BAME recipients to The Muslim Paper, The Voice and Eastern Eye; and BAME recipients were interviewed by BBC Asian Network and Sunrise Radio Bradford. This work will be supplemented in early 2015 with the publication of a series of videos of BAME recipients, as a call to encourage more nominations from the BAME community.

Diversity Champion

22. Dame Clare Tickell, Chief Executive of Hanover Housing and Chair of the Community, Voluntary and Local Services Honours Committee, has been appointed the Diversity and Inclusion Champion of the Honours System. She will be leading a sub-group of committee members who are looking at ways to improve the diversity of the honours lists and bring independent support and challenge to the agenda.

Regional Outreach Co-ordinators

23. A group of five Regional Outreach Coordinators was established to raise awareness of the honours system in the north of England and the Midlands. These are volunteers who work in other government departments who spend one or two days a month working to publicise the honours system.

Visits to Lieutenancies

24. The Head of the Honours and Appointments Secretariat regularly makes presentations to Lieutenancies about the honours system in order to spread understanding of the honours system and to increase nominations from under-represented groups.

Longer citations

25. PASC's July 2012 report on the honours system recommended that longer citations be published for all honours at the level of CBE and above, to improve the transparency of the honours system. Since New Year 2013, longer citations have been published for all recipients of Damehoods, Knighthoods and above. There has not yet been the capacity to publish longer citations for CBE recipients as well.

Wider background checks

26. An essential part of the honours process is checking and validating individual nominations. As part of the honours nomination process, we try to minimise the risk that prospective candidates have behaved in ways likely to bring the system into disrepute. We protect the integrity of the honours system by carrying out probity checks with a number of government departments before names are submitted to the Prime Minister and HM The Queen for approval. Once an honours nomination is submitted to the Honours and Appointments Secretariat in the Cabinet Office, a process of validation is carried out to assess the strength and credibility of the case. As part of this vetting process, HM Revenue and Customs may advise the Honours and Appointments Secretariat about any potential risk posed to HM Government and the Crown by honours candidates, by reference to a low, medium or high rating. All information about an honours nominee, received from any source, is treated in the strictest confidence by the Honours and Appointments Secretariat and others involved in the assessment and selection of honours nominees.
27. During the period of this report, the validation process has been strengthened in two ways. Firstly, one of the recommendations of PASC's 2012 report on the honours system was that "each Lord-Lieutenant should have the opportunity to consider and comment on all nominations for an honour within his or her lieutenancy". (Previous practice was that Lord-Lieutenants were asked to comment only on honours cases run centrally by the Secretariat in the Cabinet Office.) A pilot scheme has encouraged selected Lieutenancies to comment on every public nomination received by the Secretariat, including those to be handled by other government departments. This ran in ten English Lieutenancies in 2013-14, with the aim of determining whether the scheme, if it were to become standard practice, would be manageable in terms of resources and workloads. The pilot is now being evaluated, but our initial expectation is that the new system will be rolled out across the country in 2015.
28. Secondly, a review of the honours validation processes across the whole honours system has been conducted following an error in vetting caused by a case of mistaken identity in the 2014 Birthday list. The review's preliminary

conclusion is that overall the process is working well, but that there should be some refreshing of policy guidance and documentation to ensure that stakeholders are clear about expectations at all stages of the process. In addition, the Health Committee (in whose area the case of mistaken identity fell) has put in place an enhanced series of validation checks for its candidates. A three-stage process of validation is now undertaken: public checks, involving checking internet research; external checks with the relevant profession regulator, if applicable; and final checks with the employer.

Honours Committees

29. The independent committee selection process for honours today remains fundamentally the same as that established in 2005 following the reform of the honours system. Since our last report, we have recruited new members of all of the eight³ specialist honours committees set up in 2005; and we have added a ninth committee, to honour parliamentary and political service. The remit of the new committee is to consider not just politicians but those who have contributed to political life more broadly, such as local volunteers and fund-raisers. It also recognises the staff of the Westminster Parliament (and of those bodies which report to it) and of the Devolved Assemblies.
30. The chairs of the nine specialist committees are also members of the Main Honours Committee, together with the Chief of the Defence Staff, the Permanent Secretary of FCO and another senior Permanent Secretary. The full membership during the period of this report has comprised:
 - Chair: Sir Bob Kerslake, Head of Home Civil Service.
 - Sir Vernon Ellis, Chair of Arts and Media Committee (succeeding Lord Stevenson).
 - Dame Clare Tickell DBE, Chair of Community, Voluntary and Local Services Committee (succeeding Lord Newton).
 - Sir Ian Cheshire, Chair of Economy Committee (succeeding Sir John Parker).
 - Sir Michael Barber, Chair of Education Committee.
 - The Rt Hon the Lord Kakkar, Chair of Health Committee (succeeding Sir Ian Carruthers).
 - The Rt. Hon. The Lord Spicer, Chair of Parliamentary and Political Service Committee.

³ These are Arts and Media; Community, Voluntary and Local Service; Economy; Education; Health; Science and Technology; Sport; and State Service.

- Professor Sir John Bell FRS, Chair of Science and Technology Committee (succeeding Lord Krebs).
- Lord Coe CH KBE , Chair of Sport Committee.
- Dame Mary Marsh DBE, Chair of State Committee.
- Sir Jeremy Heywood, Cabinet Secretary
- Permanent Secretary of the Foreign and Commonwealth Office.
- Chief of Defence Staff.
- Another Permanent Secretary (currently Permanent Secretary, Ministry of Justice).

31. A full list of current committee members is at Annex 6.

Philanthropy

32. The Philanthropy Honours Committee (a sub-committee of the Main Honours Committee) was set up in 2011 to reflect the Prime Minister's strategic objective to recognise more philanthropists through the honours system. The committee assesses any case with a philanthropic element which has been seen by one of the nine independent honours committees. It does not have an allocation of honours but takes a comparative overview of candidates already considered and can recommend to the Main Honours Committee that an independent committee's initial recommendation be reviewed. The committee focuses on nominees who, in addition to sustained personal commitment to a charitable cause or voluntary endeavour, have also contributed a gift or gifts of significant monetary value.
33. Government departments have been encouraged to identify philanthropists working in their fields. The Chair of the Philanthropy Committee has sought to increase the range of nominees considered by the committee through outreach with bodies working in the philanthropy field. This has helped to broaden the range of cases under consideration. Since the committee was established, around 25 philanthropists per list have been recognised through the honours system at all levels: from knighthoods and damehoods, such as Ewan Brown who received a knighthood at Birthday 2014 for his philanthropy in Scotland; to British Empire Medallists, such as Elaine Evans who received a BEM, also at Birthday 2014, for her support of the Royal Pavilion and Museums Foundation in Brighton.

Forfeitures

34. In the three-year period of this report, 20 honours have been forfeited compared with three honours in the previous three year period. We believe the increase may partly be accounted for by the higher profile given to

forfeiture following the annulment in January 2012 of the Knighthood previously awarded to the banker Fred Goodwin. In the light of this case, the system for recommending forfeitures was reviewed leading to the following key changes:

- The membership of the Forfeiture Committee has been changed so that it now includes a majority of independent members as well as the Head of the Civil Service and the Treasury Solicitor.
- “Bringing the honours system into disrepute” was reaffirmed as the over-arching criterion for forfeiture, with each honour considered on a case-by-case basis. This is underpinned by specific criteria⁴ which may provide examples of how the system may have been brought into disrepute.
- The Committee can now accept written representations from the individual at risk of forfeiting an honour before it makes its final recommendation, unless the case is absolutely clear-cut.

35. A list of honours forfeited during the period of this report is at Annex 4.

Ministerial involvement

36. The Cabinet discussed the honours system in September 2012 to agree a common understanding of how Ministers may be properly involved in the honours system and to review its strategic direction. Following this discussion, new guidance was circulated to Ministers, setting out how they should get involved in the system. The guidance makes clear that Ministerial involvement is an important and legitimate part of the honours system. The Prime Minister is responsible for setting the strategic direction of the overall honours system. Ministers should provide direction to their departmental honours secretaries to focus on nominees whose activities support their strategic and policy objectives. Ministers are encouraged to put forward nominations at any time for consideration by the honours committees, and may comment on names being suggested by their departments. Honours Secretaries alert their Ministers to the start of each internal honours round and ask them to suggest names for consideration. Any names suggested by Ministers go through the due selection process used by the department, including appropriate validation checks. Nominations received between

⁴ Where an individual has been found guilty by the courts of a criminal offence and sentenced to a term of imprisonment of three months or more; or has been censured/struck off by the relevant professional body or other regulatory body for action or inaction which was directly relevant to the granting of the honour.

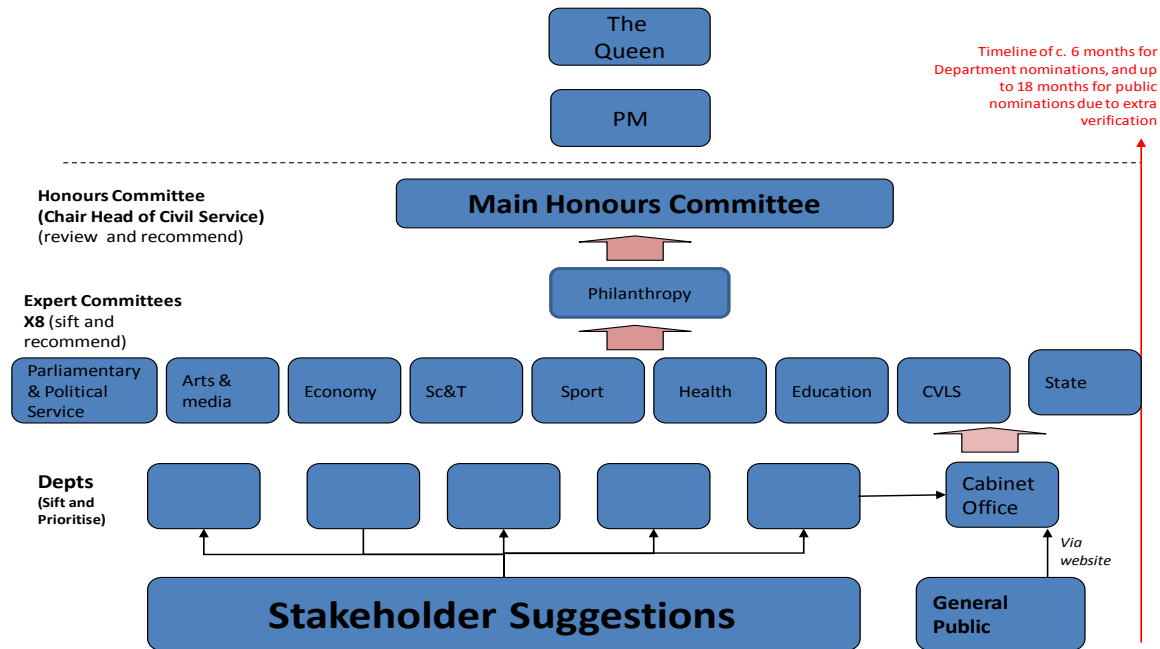
deadlines for the start of each honours round are recorded and logged by departments to be considered in forthcoming rounds.

37. If Ministers are approached in their capacity as constituency MPs or as private individuals, they may also offer their support to public honours nominations submitted to the Honours and Appointments Secretariat in the Cabinet Office.
38. The Prime Minister has a key role in giving strategic guidance to the honours committees but has no direct involvement in the operation of the normal honours process although he is able to feed in his views.
39. The Prime Minister is also able to recommend honours candidates directly to The Queen. The Prime Minister can recommend honours to outgoing Ministers at times of dissolution of Parliament or resignation of Ministers or in the event of the Prime Minister's own resignation. The Prime Minister believes that there are many people in politics who have a long record of outstanding public service and that this service should be recognised. These direct candidates are considered by the Parliamentary and Political Service Committee from the point of view of propriety, but the Committee does not comment on the merit of these candidates.

Annexes

1. Summary of honours process
2. Criteria for each level of award
3. Outcome of 2012 Quinquennial Review
4. Statistics
5. Outreach activity
6. Current committee membership
7. Recipients of the higher awards
8. Refusals and reasons
9. Definitions

Summary of Honours Process



CRITERIA FOR HONOURS

The honours committees have adopted the following broad guidelines as to the criteria for the levels of award:-

- *Companion of Honour*
A pre-eminent and sustained contribution in the arts, science, medicine or government.
- *Knight/Dame*
A pre-eminent contribution in any field of activity, 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.
- *CBE*
A prominent national role of a lesser degree, or a conspicuous leading role in regional affairs through achievement or service to the community or a highly distinguished, innovative contribution in his or her area of activity.
- *OBE*
A distinguished regional or county-wide role in any field, through achievement or service to the community including notable practitioners known nationally.
- *MBE*
Achievement or service in and to the community which is outstanding in its field and has delivered sustained and real impact which stands out as an example to others.
- *BEM*
Achievement or contribution of a very “hands-on” service to the community in a local geographical area. This might take the form of sustained commitment in support of very local charitable and/or voluntary activity; or innovative work that has delivered real impact but that is relatively short (three to four years) in duration.

ANNEX 3

OUTCOME OF 2012 QUINQUENNIAL REVIEW

Where these have changed, the allocations resulting from the last Quinquennial Review are shown in brackets.

	Gender target (= % female)	G-level	Knight or Dame level	CB CBE CMG	OBE	MBE	BEM	Total	% of all PM's awards	% of all (PM, FCO, MOD) awards
<u>PM's List</u>										
Community Voluntary and Local Service	55%		4	23 (20)	84 (73)	244 (310)	284 (184)	639 (591)	48% (46%)	40% (38%)
Economy	35%		5	25	42	76	11	159	12%	10%
Education	65% ⁵		6 (4)	10	32	57	20	125 (123)	10%	8%
State	50%	0.5	1.5 (2)	17CB 11CBE	34	46 (67)	10	120 (141.5)	9% (11%)	7% (9%)
Health	65%		4	10	19	46	18	97	7%	6%
Arts & Media	35%		4	12	18	27	11	72	5%	5%
Sport	35%		0.5	2	10	19	15	46.5	4%	3%
Science & Technology	30%		3	7	7	8	1	26	2%	2%
Parliamentary & Political Service			4	4	6	9	2	25	2%	2%
Pool		1.5	6 (4.5)	5				12.5 (11)	1%	1%
PM's TOTAL		2	38 (35)	126 (123)	252 (241)	532 (619)	372 (272)	1,322 (1,292)		84%

⁵ Disaggregated as follows: 45% for those working in higher education; 55% for those in further or secondary education; 80% for those in primary education; and 85% for those in pre-primary.

	G-level	Knight or Dame level	CB	CBE/CMG	OBE	MBE	BEM	Total		% of all (PM, FCO, MOD) awards
FCO List (State awards)	0.3 (0.35)	1.5 ⁶ (1.7 ⁷)		6	8 (10.5)	10 (13)	5	30.8 (36.5)		2%
FCO List (non-State awards)	0.7	4.5		13.5 (15.5)	34 (40)	36 (42)	5	93.7 (107.5)		6%
MOD List (all State awards)	3			18	26	69.5	0 ⁸	116.5		8%
	(1.5)	(2)		(18.5)	(28)	(74.5)		(124.5)		
FCO/MOD TOTAL	10			37.5	68	115.5	10	241		16%
	(2.55)	(8.2)		(40)	(78.5)	(129.5)		(269)		

	Knight or Dame level	C-level	OBE	MBE	BEM	Total
Crown Dependencies	3 every 5 years (2 every 5 years)			6	3	9.3 (9.2)
Overseas Territories		9 every 5 years	4.5	8		13.5
Overseas Realms	3.25	8.75	18	32.5	36	98.5

⁶ 10 plus 5 for “hardship posts” over five years – equates to 15, or an average of 1.5 per list.

⁷ 15 plus 2 for “hardship posts” over five years – equates to 17, or an average of 1.7 per list.

⁸ Previous nominal allocation 20 BEMs per List, but these have never been used.

STATISTICS

Honours recipients 2012-2014: by Black African and Minority Ethnic Communities

LIST	Kt/DBE	CBE	OBE	MBE	BEM	TOTAL	% OF LIST
NY12	1	5	14	45	-	65	6.8%
BD12	1	5	16	38	11	71	6.0%
NI13	1	5	14	30	11	61	5.2%
BD13	2	2	17	45	7	73	6.2%
NY14	2	4	16	35	7	64	5.5%
BD14	2	6	20	33	12	73	6.5%

Honours recipients 2012-2014: by gender

NY 2012

	K+		C Level		OBE		MBE		Totals	
	F	M	F	M	F	M	F	M	F	M
Arts and Media	1	4	2	10	9	9	10	22	22	45
CVLS	3	3	7	15	26	45	163	138	199	201
Education	2	3	4	5	18	14	31	27	55	49
Health	1	3	4	5	7	12	17	23	29	43
S&T	0	4	2	4	2	4	1	8	5	20
Sport	0	1	1	1	2	9	7	19	10	30
State	0	3	6	16	14	26	40	29	60	74
Economy	0	6	4	14	14	30	19	31	37	81
Parliamentary	1	2	0	0	0	0	2	0	3	2
Total	8	29	30	70	92	149	290	297	420	545

BD 2012

	K+		C Level		OBE		MBE		BEM		Totals	
	F	M	F	M	F	M	F	M	F	M	F	M
Arts and Media	2	3	4	7	9	11	12	17	4	7	31	45
CVLS	0	4	10	8	20	49	111	152	96	121	237	334
Education	0	5	8	4	17	14	28	24	11	8	64	55
Health	2	2	6	6	10	9	27	17	8	3	53	37
S&T	2	2	3	4	1	6	2	5	0	1	8	18
Sport	0	0	0	2	1	9	7	10	4	11	12	32
State	0	1	6	18	13	20	18	26	7	4	44	69
Economy	1	4	3	13	13	32	24	48	2	6	43	103
Parliamentary	1	4	1	1	1	4	3	1	0	0	6	10
Total	8	25	41	63	85	154	232	300	132	161	498	703

NY 2013

	K+		C Level		OBE		MBE		BEM		Totals	
	F	M	F	M	F	M	F	M	F	M	F	M
Arts and Media	0	3	4	5	9	9	15	10	5	6	33	33
CVLS	0	5	8	11	30	35	107	111	121	97	266	259
Education	5	4	6	6	19	12	33	16	10	7	73	45
Health	2	1	2	8	10	9	20	20	7	3	41	41
S&T	1	5	2	6	1	6	2	6	0	1	6	24
Sport	1	5	4	3	6	7	28	55	4	9	43	79
State	1	1	11	11	18	19	24	19	2	3	56	53
Economy	1	5	5	13	19	33	14	47	5	3	44	101
Parliamentary	2	2	0	5	2	4	4	4	2	0	10	15
Total	13	31	42	68	114	134	247	288	156	129	572	650

BD 2013

	K+		C Level		OBE		MBE		BEM		Totals	
	F	M	F	M	F	M	F	M	F	M	F	M
Arts and Media	1	5	4	11	5	9	10	18	4	6	24	49
CVLS	1	3	6	18	18	47	123	128	132	88	280	284
Education	4	5	4	8	21	10	28	25	14	7	71	55
Health	2	3	2	7	15	5	28	12	7	2	54	29
S&T	0	4	2	6	3	3	3	5	0	1	8	19
Sport	1	0	0	1	1	6	7	16	1	14	10	37
State	0	1	9	17	14	21	22	23	7	2	52	64
Economy	0	5	7	12	13	27	19	26	7	4	46	74
Parliamentary	0	5	1	2	4	2	5	3	1	0	11	12
Total	9	31	35	82	94	130	245	256	173	124	556	623

NY2014

	K+		C Level		OBE		MBE		BEM		Totals	
	F	M	F	M	F	M	F	M	F	M	F	M
Arts and Media	3	3	3	8	10	10	17	15	6	8	39	44
CVLS	0	3	6	15	34	45	100	109	146	100	286	272
Education	7	4	3	7	24	8	32	21	15	2	81	42
Health	2	2	5	6	15	4	25	12	12	3	59	27
S&T	2	2	5	3	3	4	3	5	0	1	13	15
Sport	0	0	1	1	4	6	8	15	7	9	20	31
State	0	3	9	15	11	14	22	19	7	3	49	54
Economy	2	4	6	15	18	25	21	36	6	3	53	83
Parliamentary	1	5	1	4	2	4	6	3	1	0	11	16
Total	17	26	39	74	121	120	234	235	200	129	611	584

BD 2014

	K+		C-level		OBE		MBE		BEM		Totals	
	F	M	F	M	F	M	F	M	F	M	F	M
Arts and Media	2	3	2	6	8	12	15	15	10	5	37	41
CVLS	0	2	5	12	26	35	95	108	122	98	248	255
Education	2	8	5	8	18	12	33	24	12	5	70	57
Health	1	5	7	4	12	8	26	16	9	1	55	34
S&T	1	4	2	6	5	3	2	7	0	1	10	21
Sport	1	0	1	2	1	6	11	14	8	11	22	33
State	1	0	8	15	19	16	20	25	4	1	52	57
Economy	2	4	11	11	15	25	23	32	4	7	55	79
Parliamentary	1	3	0	3	4	2	5	3	1	1	11	12
Total	11	29	41	67	108	119	230	244	170	130	560	589

Honours recipients 2012-2014: by level

List	K+	C-level	OBE	MBE	BEM
NY 2012	37	100	241	587	0
BD 2012	33	104	239	532	293
NY 2013	45	110	247	535	286
BD 2013	41	117	224	501	295
NY 2014	43	113	241	469	329
BD 2014	40	108	227	474	300
Totals	239	652	1419	3098	1503

Honours recipients 2012-2014: by region

	% list NY 12	% list BD 12	% list NY13	% list BD 13	% list NY 14	% list BD 14	% Pop
North East	3.1	2.8	3.4	2.0	3.1	2.6	4.3
North West	11.0	9.7	8.2	7.4	9.2	8.1	11.4
Yorks & Humber	4.7	4.2	6.9	5.6	4.8	6.0	8.4
East Midlands	5.3	5.2	4.7	5.0	4.7	5.6	7.1
West Midlands	6.2	7.0	7.0	5.1	6.9	5.1	8.9
East	9.0	8.6	10.0	8.7	8.8	8.2	9.1
South West	9.9	10.7	10.0	9.8	7.9	7.6	8.1
South East	16.2	15.6	14.4	14.4	14.2	15.0	13.6
London	14.3	16.2	15.2	17.1	18.4	17.9	12.2
Wales	6.0	5.5	4.9	6.9	5.1	5.3	4.9
Northern Ireland	5.6	7.0	5.8	7.6	6.3	8.0	2.9
Scotland	7.3	6.7	7.1	9.7	10.2	10.0	8.6

Forfeitures 2012-2014

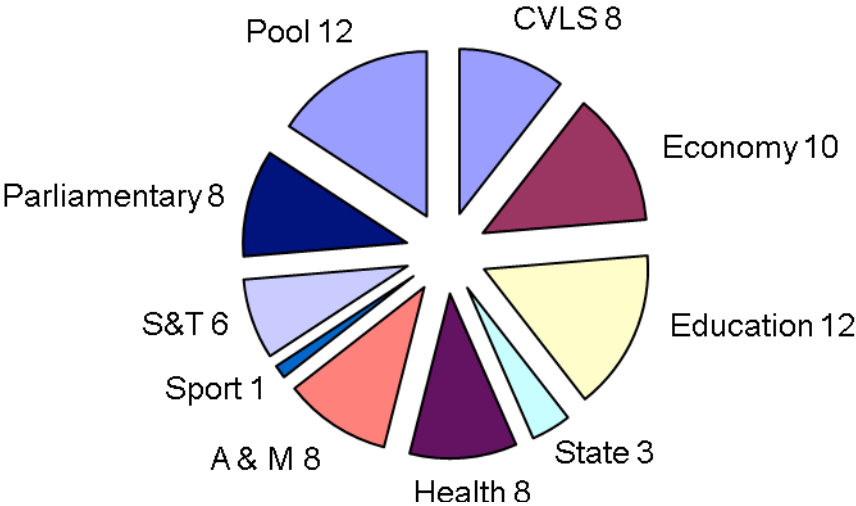
Level	Committee	Date of Award	Date of Forfeiture
Kt	Economy	BD2004	1 February 2012
Kt	Economy	BD2006	11 June 2013
Kt	Education	NY2000	13 May 2014
CB	State	BD 2009	30 July 2013
CBE	CVLS	BD1993	4 September 2012
CBE/QFSM ⁹	CVLS	BD2008/BD2003	28 May 2013
OBE	CVLS	NY2009	4 September 2012
OBE	CVLS	NY2006	4 September 2012
OBE	CVLS	NY2005	26 February 2013
OBE	Economy	BD1994	26 February 2013
OBE	Education	NY1995	28 May 2013
OBE	Sport	NY 2012	22 October 2013
MBE	Education	NY 2006	14 February 2012
MBE	Health	NY 2006	14 February 2012
MBE	Education	BD 2000	14 February 2012
MBE	Education	BD2001	26 February 2013
MBE	CVLS	NY2008	28 May 2013
MBE	CVLS	NY 1990	15 October 2013
MBE	Health	BD2014	15 August 2014
MBE	CVLS	BD2002	30 September 2014
MBE	CVLS	BD2003	30 September 2014
BEM	CVLS	BD1985	30 September 2014
ISM ¹⁰	-	April 2001	13 May 2014

⁹ Queen's Fire Service Medal

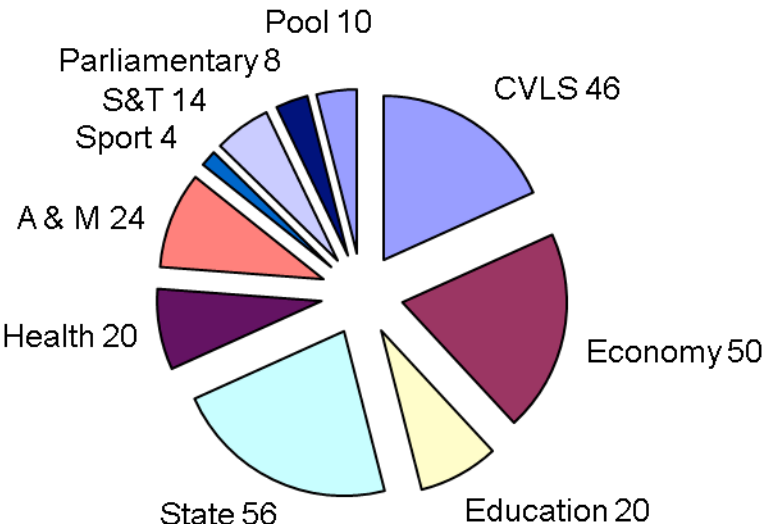
¹⁰ Imperial Service Medal, awarded to civil servants (non-management grades) on completion of 25 years of service

Annual allocations of honours by committee

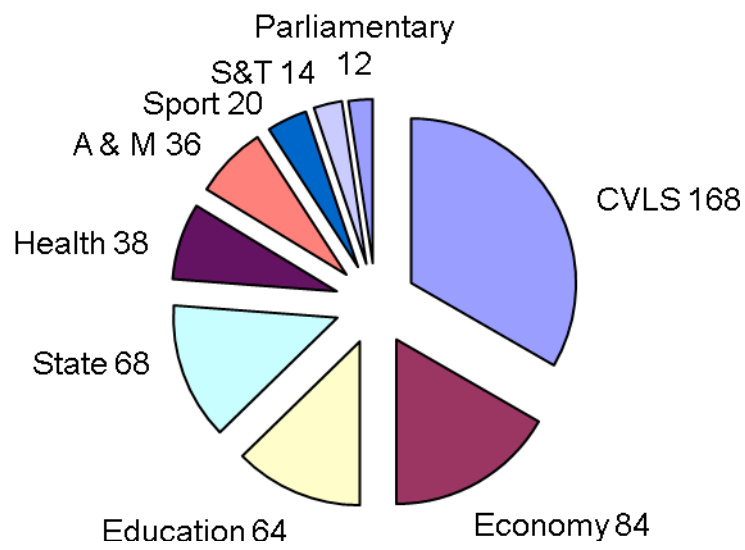
D/K



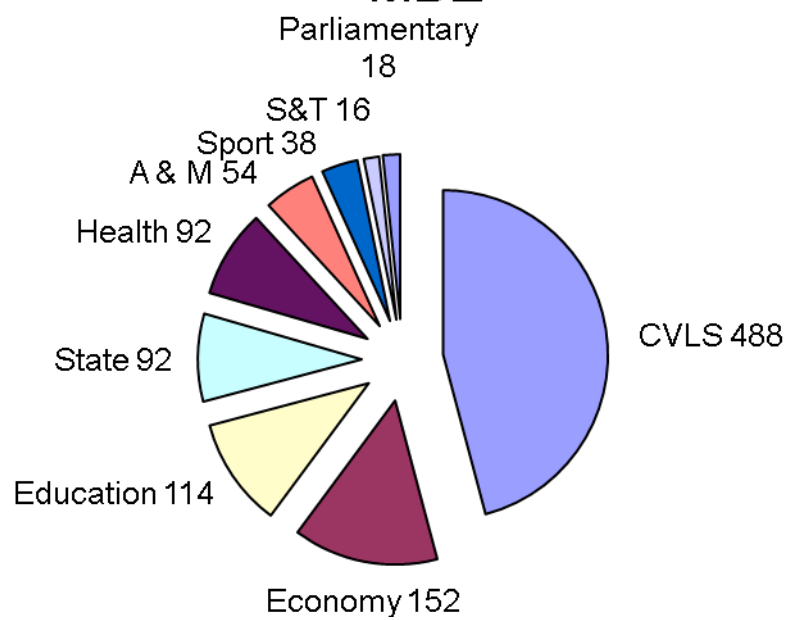
CBE

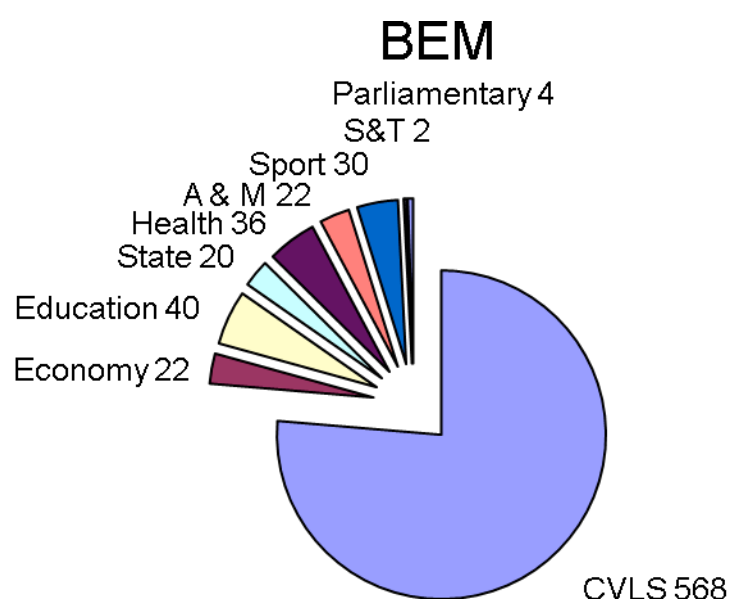


OBE



MBE





OUTREACH ACTIVITY

Regional Outreach

8 December 2014, West Midlands

20 Oct 2014 Exeter, Devon

14 October 2014, Rutland

8 May 2014, Coventry, Warwickshire

25 March 2014, Northern Lieutenancies

24th March 2014, Reading, Berkshire

4 March 2014, Newport, Isle of Wight

10 February 2014, Kingston, Surrey

24 January 2014, Bristol

18 December 2013, Solihull, West Midlands

9 December 2013, Hertford, Hertfordshire

8 July 2013, Wetherby, Yorkshire

9 July 2013, Gateshead, Tyne and Wear

23 April 2013, Lincoln

17 April 2013, Nottingham

19 March 2013, Sturminster Newton, Dorset

28 January 2013, Gloucester

22 November 2012, Ipswich, Suffolk

8 November 2012, Norwich, Norfolk

25 October 2012, London

2 October 2012, Much Marcle, Herefordshire

24 May 2012, Sheffield, South Yorkshire

Women's Institutes

4 March 2014, Derbyshire Federation of Women's Institutes, Chesterfield

3 October 2013, West Midlands Federation of Women's Institutes, Sutton Coldfield

23 April 2013, Shropshire Federation of Women's Institutes

17 April 2013, Nottingham Federation of Women Institute

20 March 2013, Lincolnshire North Federation of Women's Institutes, Skegness

19 March 2013, Staffordshire Federation of Women's Institutes

22 October 2012, South Yorkshire Federation of Women's Institutes, Barnsley

2 October 2012, Cheshire Federation of Women's Institutes

BAME

7 November 2014, Women4Africa networking event

22 November 2013, Crawley Inter-Faith Network

3 October 2013, WEConnect Women's Conference, Clifford Chance, London

1 October 2013, 'Demystifying the Honours System' with Dr Yvonne Thompson, BIS Conference Centre, London

12 September 2013, New Jerusalem Church, Birmingham

5 May 2013, 'Demystifying the Honours System', House of Lords event hosted by Baroness Howells and Dr Yvonne Thompson

Charitable organisations

12 April 2013, Chairs and Chief Executives of umbrella charity organisations, 10 Downing Street

Health

15 July 2014, Health stakeholders, hosted by Lord Kakkar at St. Thomas's Hospital, London

Arts and Media

17 April 2012, Arts and Media stakeholders, hosted by Lord Stevenson at the Tate.

ANNEX 6

CURRENT COMMITTEE MEMBERSHIP

Arts and Media

Sir Vernon Ellis, Chair
Sir Peter Housden KCB
Ms Sue Owen CB
Ms Laura Wyld
The Lord Fellowes of West Stafford
Dame Liz Forgan DBE
Ms Julia Peyton-Jones OBE
Mr Luke Rittner
Sir Peter Stothard

Community, Voluntary and Local Service

Dame Clare Tickell DBE, Chair
Ms Helen Edwards CB CBE
Sir Derek Jones KCB
Mr Mark Sedwill CMG
Mr Chris Wormald
Ms Laura Wyld
Ms Evelyn Asante-Mensah OBE
Mrs Melanie Bryan OBE
Dilwar Hussain
Dr Angus Kennedy OBE
Mr John Knight CBE
Professor Dame Barbara Monroe DBE
Mr Brian O'Doherty
Mrs Noreen Oliver MBE
The Lord Shipley
Sir Nicholas Young

Economy

Sir Ian Cheshire, Chair
Mr Martin Donnelly CMG
Sir Peter Housden KCB
Sir Nicholas Macpherson KCB
Ms Sue Owen CB
Ms Laura Wyld
Dame Helen Alexander DBE

Dame Colette Bowe DBE
Mrs Sherry Coutu CBE
The Rt Hon The Baroness Dean of Thornton-le-Fylde
Mrs Anya Hindmarch MBE
Sir Richard Lambert
Ms Helen Mahy
Dr Yvonne Thompson CBE

Education

Professor Sir Michael Barber, Chair
Mr Martin Donnelly CMG
Dr Malcolm McKibbin
Mr Chris Wormald
Ms Laura Wyld
Mr Graham Badman CBE
Dame Rachel de Souza DBE
Dr John Guy OBE
Professor Sir Deian Hopkin
Dame Asha Khemka DBE
Ms Marion Matchett CBE
Sir Daniel Moynihan
Mr Peter Williams CBE

Health

The Rt Hon the Lord Kakkar, Chair
Dame Sally Davies DBE
Ms Una O'Brien CB
Mr Andrew Goodall
Ms Laura Wyld
Dame Christine Beasley DBE
Professor Sir Leszek Borysiewicz
Dame Ruth Carnall DBE
Professor Sir Ian Gilmore
Professor Dame Janet Husband DBE
Sir Nicholas Partridge OBE
Professor Sir Simon Wessely

Parliamentary and Political Service

The Rt Hon the Lord Spicer, Chair
The Rt Hon Don Foster MP
The Rt Hon Rosie Winterton MP

Ms Laura Wyld
The Rt Hon Michael Gove MP
Ms Dianne Bevan
The Rt Hon the Lord Butler of Brockwell KG GCB CVO
The Rt Hon the Baroness Hayman GBE
The Rt Hon Peter Riddell CBE
Sir Robert Rogers

Science and Technology

Professor Sir John Bell FRS, Chair
Professor Sir John O'Reilly FREng
Sir Mark Walport FRS
Ms Laura Wyld
Professor Sir Tony Atkinson FBA
Professor Dame Janet Finch DBE DL
Professor Dame Julia King DBE
Mr Martyn Rose
Professor Dame Nancy Rothwell DBE FRS DL

Sport

The Lord Coe CH GBE, Chair
Dr Malcolm McKibbin
Ms Sue Owen CB
Ms Laura Wyld
Mr Giles Clarke CBE
Baroness Grey-Thompson DBE
Mr Tim Lamb
Mr Tim Phillips CBE

State

Dame Mary Marsh DBE, Chair
Dame Ursula Brennan DCB
Mr Chris Martin CB
The Rt Hon the Baroness Bottomley of Nettlestone JP DL
Ms Elizabeth McMeikan
Dr Diana Walford CBE
Dr Suzy Walton

RECIPIENTS OF HIGHEST AWARDS 2012-2014

Arts and Media		
BD2014	CH	Dame Margaret Natalie Cross Smith DBE
NY2014	CH	Sir Peter Maxwell Davies CBE
BD2013	CH	Sir Nicholas Andrew Serota
Community, Voluntary and Local Services		
NY2012	GBE	The Right Honourable Helene Valerie, Baroness Hayman
Economy		
NY2013	GBE	Sir Alan Peter Budd
BD2012	GBE	Sir (Thomas) John Parker
Education		
NY2014	CH	Baroness Onara Sylvia O'Neill of Bengarre CBE
Parliamentary and Political Services		
BD2013	CH	The Right Honourable Sir Walter Menzies Campbell CBE QC MP
Science and Technology		
NY2013	CH	Professor Peter Ware Higgs
Sport		
NY2013	CH	Sebastian Newbold Baron COE KBE
NY2013	GBE	Sir Keith Edward Mills

REFUSALS

Shown below is the number of people who have refused the offer of an honour during the period of the Report. The standing of the honours system remains high and the number of refusals is low, averaging at 1.7% over the period of this report.

List	Number of refusals
New Year 2012	17
Birthday 2012	14
New Year 2013	19
Birthday 2013	24
New Year 2014	21
Birthday 2014	23

The majority of people do not give any reason for refusing their award. Those who do give reasons often do so with humility, saying that they feel that their efforts are reward enough and that others are more deserving.

Of the 118 refusals during this period of the report, five people said that they could not accept the award on point of principle due to the link with the British Empire or because they disagreed with the honours system in a modern society; seven people refused because they considered the level of award offered too low.

DEFINITIONS

Terminology used in the processes:

- **Nominations** are usually made by members of the public and others using the form available on the government website (www.gov.uk/honours) and by government departments. Nominators are asked to provide at least two letters of support for a candidate in order to be able to develop a rounded picture. It is not possible to assess how many nominations are made each year, as they may be fed into the system in a variety of ways. The Nominations Team at the Honours and Appointments Secretariat receives on average 3,500 each year. Nominations from members of the public come in throughout the year, but citations are submitted to committees twice a year.
- **Citations** are mainly produced by the honours staff in departments. They are distillations of the material provided by members of the public in their nominations, or recommendations from professional bodies and other organisation who have been invited by government departments to submit citations directly to them.

Each candidate's case goes through a number of stages before it reaches one of the central honours committees.

- Recommendations that start as *public nomination* forms sent to the Honours and Appointments Secretariat are sifted and checked by the Secretariat. Some cases are forwarded to the appropriate government department for consideration. The remainder are processed by the Secretariat, and comments sought from Lord-Lieutenants, outside bodies and departments which have an interest in an aspect of the candidate's work. Only once all these checks have been undertaken are cases distilled into *citations*.
- Stakeholders such as NHS Trusts, educational bodies, the CBI and Universities are regularly asked by their sponsoring government for suggestions as to candidates for honours. Departments check and sift such candidates. Then, together with candidates who have come from the public, they send the *citations* to Honours and Appointments Secretariat for submission to one of the specialist honours committees. Departments submit only the strongest citations for consideration.