

PREFACE BY INQUIRY TEAM

调查团队之序言

This report was commissioned by the board of Fonterra on 8 August 2013, five days after Fonterra announced a precautionary recall of three batches (totalling 38 tonnes) of whey protein concentrate. An external test of the product had indicated it had potentially been contaminated with a strain of *Clostridium botulinum*.

该调查报告由恒天然董事会2013年8月8日发起。当集团公布对三批次浓缩乳清蛋白（总共38吨）进行预防性召回的五天之后，董事会宣布开展这一调查。

At the time of announcing an independent inquiry, Fonterra's Chairman, John Wilson, said he expected it to *"challenge every aspect of the business. We want to know how this happened, and why. We want...to take steps to build systems and procedures in Fonterra, and the global dairy supply chain, that will reduce the chance of this ever happening again."*

在恒天然董事会主席约翰·威尔逊宣布开展独立调查之时，他表示，希望“（调查能够）对集团业务的所有方面提出挑战。我们想了解事件的来龙去脉。我们希望.....采取措施在恒天然和全球乳制品供应链建立相关机制和程序，以降低类似事件复发的可能性。”

It is now a matter of history that the precautionary recall was proven to be a false alarm. On 28 August, it was announced that additional independent testing had established that there was no presence of *C. botulinum* in the whey protein concentrate.

预防性召回事件已经过去，且证明是虚惊一场。8月28日，新西兰政府宣布，经后续独立检测确认，恒天然浓缩乳清蛋白不含肉毒杆菌。

While the "all clear" announcement was a huge relief to all concerned, it nonetheless raised further questions about how Fonterra had found itself in this position.

尽管这一“警报解除”的消息对于所有关注这一事件的人员来说是莫大的安慰，但是这一事件也提出了更多问题，即恒天然这起事件究竟是如何发生的。

The Inquiry team has sought to fulfil the expectations of the Chairman, the Board and the wide range of Fonterra's stakeholders by working over the past two months or so to establish what went wrong and why, and (more importantly) to point to what it sees as the lessons for the future.

为了完成董事长、董事会和更为广泛的恒天然各利益相关方的期望，在过去两个月中，调查团队努力了解导致事件出错的因素和根源，尤其更为重要的是，探寻未来以资借鉴的经验教训。

In doing so, members of the Inquiry team have visited 8 plants, conducted interviews with over 70 people within Fonterra, from the Board down, and also had discussions with over 30 of Fonterra's key stakeholders in a number of markets – customers, farmer/owners, politicians and regulators, members of the diplomatic corps, industry stakeholders, members of the media, financial analysts and institutional investors and employees.

为了完成这一目标，调查团队成员走访了八家工厂，采访了70多位恒天然员工，上至董事会，下至各基层员工，并与数个市场的30多位恒天然的主要利益相关方进行了讨论，包括客户、奶农/牧场主、政府官员和监管机构、外交使团、业内利益相关方、媒体代表、金融分析家和机构投资者及其员工。

The interviews have all been conducted on an unattributable and confidential basis. The review team wishes to thank all who participated for their constructive involvement, their candour and their valuable insights.

所有的采访都在匿名和保密的基础上进行。调查团队在此感谢所有参与人员，感谢所有人的积极参与以及他们坦诚直率而又非常宝贵的反馈建议。

The Inquiry team has also benefited greatly from its collaboration with the special oversight committee, whose membership is outlined in their Foreword to this report.

调查团队也得到了特别监督委员会的大力支持，该委员会成员已在本报告的前言中列出。

Few if any organisations have voluntarily opened themselves to the intensive scrutiny involved in the Fonterra Board (i) commissioning this Inquiry's independent review of the context, contributors and responses to a particular incident, (ii) providing full access to people and documents, and (iii) publishing the resulting report. The Inquiry team has appreciated the corresponding responsibility and trust inherent in its wide brief. To avoid any doubt, the Inquiry team records that it has not been constrained or impeded in its work by the Board or management of Fonterra.

世上鲜有机构能够像恒天然这样，积极自愿地配合类似恒天然董事会发起的如此严格的审查，其中包括：(i) 委托本团队开展独立调查，审查某具体问题的发生背景、参与人员和处理方式，(ii) 完全开放接触权限，允许调查团队接触所有相关人员和文件，并且 (iii) 公布报告结果。调查团队因此也深刻了解在开展此项内容深广的调查过程中所承担之重任及所赋予之信任。为避免疑问，调查团队在此郑重声明，调查工作自始至终均未受到恒天然董事会或恒天然管理层的任何限制与阻碍。

Any inquiry of this nature will tend to focus on a few things that, with advantages of hindsight, could or should have been done better. This Inquiry is no exception. But it needs to be kept in mind that that tendency will obscure the reality that most things continue to be done extremely well.

任何这一类的调查都倾向于通过事后反省，关注有待或可以改善的领域。本调查也不例外。但是，需要牢记的是，这种倾向可能会让人们忽视更多的积极面，即：其实大多数事情一直以来都做得很好。

Thus, although it might go without saying, it is probably a useful reminder for the Inquiry to record that Fonterra is a high quality organisation with talented and dedicated people. It has great efficiency, well developed systems and processes, and ongoing commitments to food safety and quality and to continuous improvement. The WPC80 events have already generated significant improvements, illustrated by the prompt Operational Review, and the progress on its implementation. This Inquiry's report should be read with those reminders kept in mind.

因此，尽管这是毋庸置疑的，调查团队还是在此声明：恒天然是一家高素质的企业，其员工极富才能和奉献精神。恒天然拥有高效和先进的系统与流程，始终如一的对食品安全与质量的承诺，以及持之以恒的对于改进工作的追求。浓缩乳清蛋白事件已经引发了很多改进措施，包括事发之后立即开展的管理层调查以及调查结果的积极执行。在阅读本调查报告时，应了解上述相关信息。

The Inquiry team has been left with a strong impression that Fonterra will use the WPC80 events as a catalyst for positive operational, cultural and governance change and will continue to build on important changes for the good already underway. That would be a very fine legacy from a very difficult period in Fonterra's history.

令调查团队印象深刻的是，恒天然将把浓缩乳清蛋白事件视为推进其在运营、文化和治理方面变革的动力，并将继续加强业已开展的重要变革。通过这些变革，恒天然历史上的这段艰难时刻将有可能给这家企业留下非常宝贵的遗产。