

# FULL LIST OF RECOMMENDATIONS 建议清单

The following list of recommendations by the Inquiry is drawn from Section I of the report (Overview and Questions) which should be read to provide the necessary context for the recommendations. It may be added that many of the “operational” recommendations overlap with those of Fonterra’s internal Operational Review (see Appendix J), and are already being implemented.

以下建议清单是基于调查报告第一部分（概览和问题）整理得出，第一部分也应该被阅读，从而帮助读者了解提出相关建议的必要背景。需要指出的是，本调查的很多“运营”建议与恒天然内部运营调查（见附件J）提出的建议有相同之处，因此已经开始执行。

## Operational 运营

(R1) Ensure that Fonterra’s specifications (and associated testing) for potential food quality and safety (FQS) issues across nutritional product ingredients manufactured for Fonterra are of “best in class” standard: consistent with the most rigorous requirements of customers, and with international best practice.

(R1) 确保恒天然关于潜在食品质量和安全问题的营养乳品原料规格（以及相关检测）达到业界一流标准：符合客户最严格的要求和全球最佳实践。

(R2) Develop and implement freshly considered procedures and criteria for reworking of product identified as unfit for intended purposes, consistent with customer expectations and international best practice.

(R2) 针对那些被认定为不符合预期用途而需要重新加工的产品，开发并实施新的流程与标准，使其满足客户要求和全球最佳实践。

(R3) Improve understanding of, and criteria for change control procedures when any non-routine use is made of equipment used in relation to nutritional products and their ingredients.

(R3) 当营养乳品及其原料的生产使用任何非常规设备时，要加强对变化控制程序的了解，并提高相应标准。

(R4) Revise operational “cleaning in place” programmes to address the desirability of acid washes for pipes and equipment that have been unused for 24 hours or more.

(R4) 修改运营中的“现场清洁”程序，超过 24 小时未使用的管道和设备应采用酸性清洗。

(R5) Avoid use of flexible hoses in production processes, and particularly in processes involving nutritional products. Use of fixed stainless steel piping is preferable because it can be cleaned to a higher standard than flexible hoses.

(R5) 在产品加工过程中，尤其是营养乳品的加工流程中，避免使用软管。优先选择固定的不锈钢管道，因为其清洁标准高于软管。

(R6) Undertake a review into the use of bactofuges in particular production lines (e.g. nutritional products) to assist with removal of potential contaminants from product.

(R6) 评估在特定的生产线（如营养乳品）使用离心除菌机，以帮助清除产品中可能存在的污染物。

(R7) Elevate FQS understandings and procedures to the same impressive levels as those for health and safety for all Fonterra personnel, through revised training, incentives and monitoring processes, and with consistent and conspicuous leadership from the directors and senior managers.

(R7) 通过改进培训、激励措施和监控流程，以及通过总监和高级经理持续、显著的领导力来提升所有恒天然员工对食品质量与安全的理解以及相关程序，使其达到和健康与安全同等重视水平。

(R8) Overhaul the procedures for non-routine microbiological testing within Fonterra to ensure senior management oversight of proposals for low probability/high risk internal work, and that such proposals are thoroughly assessed in advance for utility and the full range of possible consequences.

(R8) 对恒天然内部非常规微生物检测程序进行彻底检查，从而确保高级管理层可以监督低概率/高风险的内部工作提案，以便在事前对这些提案的效用以及可能产生的全部后果进行充分评估。

(R9) Establish a revised protocol for engagement of external scientific and diagnostic resources to ensure that any work commissioned is by institutions or practitioners of international standing, is appropriately undertaken for, and funded by, Fonterra (i.e. asking whether the proposed work is not better undertaken on a pan-industry basis), and that the analyses sought will yield results that are robust.

(R9) 修改利用外部科学和诊断资源的规则与程序，确保所有对外委派的工作都交由具备国际水准的机构或人员，在恒天然的资助下为恒天然开展（例如，询问某建议是否更适宜在一个泛行业基础上开展），且寻求的分析将产生可靠的结果。

(R10) improve batch tracing systems across the Fonterra organisation to enable prompt and definitive product recalls to

be undertaken at a “global best practice” level, including regular training and monitoring.

(R10)改进恒天然全集团的产品批次追溯系统，确保公司能在全球领先的水平上快速准确地召回产品，这也包括常规的培训和监控。

(R11)Clarify and emphasise risk management protocols for early escalation to senior management of potential reputational risks, especially in relation to FQS matters, including regular training and monitoring. This includes establishing a reporting line between the National Quality Manager and the Group Director Food Safety and Quality. (In turn, the Group Director Food Safety and Quality should directly report to both the CEO and the Chairman of the Risk Committee: see Recommendation 27.)

(R11)明确并强调风险管理制度，通过常规培训和监控确保潜在的声誉风险（尤其是与食品质量和安全相关的风险）能够尽早上报至高级管理层。需要在国别质量经理和集团食品质量与安全总监之间建立汇报线。（集团食品安全与质量总监应直接汇报给首席执行官和董事会风险管理委员会主席：见建议27条）

(R12)Revise the crisis management arrangements across the organisation to “best in class”, recognising that FQS reputational risks are likely to affect every market in which Fonterra has a presence (and differently). These arrangements should include regular and realistic simulations at least once (and preferably twice) a year involving stakeholders such as customers, industry associations, scientific experts and regulators, ensuring that lessons from exercises and earlier crises are applied and incorporated into an ongoing crisis readiness programme. These simulations should include scenario testing of international product recall procedures and high-level media engagement.

(R12)按最佳标准修改公司的危机管理体系，列明食品质量与安全的声誉危机可能会影响到恒天然所在的每一个市场（程度可能有所不同）。该体系将包括至少一年一次（最好一年两次）的常规和实战演习，安排客户、行业协会、科研专家、监管机构等各利益相关者共同参与，确保从演习以及发生过的危机中吸取的经验教训都能落到实处，切实纳入公司现行的危机应对方案。这些模拟应包括国际市场产品召回程序和高层媒体沟通等情景测试。

(R13)Establish a permanent (but not full-time) multi-disciplinary Incident Management team (IMT) whose members will be able to apply additional training, a regular and stakeholder-engaged crisis simulation regime and specialist experience to advise on and manage emerging issues, potential crises and realised new crises (and who will be linked in to the Food Integrity Council, the relevant Board Committee and other relevant parts of Fonterra).

(R13)建立一个永久的（但非全职的）跨部门事件管理团队（IMT），团队成员能够安排额外的培训，定期进行有利益相关者参与的危机模拟，并拥有专业知识和经验，可以为萌芽事件、潜在危机和确实发生的新危机提供建议并进行管理（成员可与食品诚信委员会、相关的董事会委员会以及恒天然其他相关部门建立联系）。

(R14)Establish a Crisis Management Plan (“owned” by the proposed IMT) establishing best practice capability including: clear lines of command, highly-trained and credible spokespeople, use of dedicated IMT rooms on declaration of a crisis incident, template preparation (including backgrounders on all operating units and appropriate protocols for any likely crisis scenario such as a product recall, Q & A, timelines), “ghost” website readiness, social media strategy, third party endorsers, and translation and language capability in all markets.

(R14)建立危机管理计划（由拟议中的事件管理团队“拥有”并管理），建立最佳实践能力，包括：确立清晰的指挥汇报线，安排训练有素、值得信赖的发言人，在宣布危机事件发生后使用事件管理团队专用会议室办公，准备模板（包括所有运营部门的背景资料、针对可能发生的危机状况的应对方案，如产品召回、常见问题、时间表等），准备虚拟网站，制定社交媒体策略，准备第三方支持者，以及在各个市场确保翻译资源和语言能力的到位。

(R15)Establish and sustain (with IMT oversight) protocols with key customers to enable the most effective responses to future critical incidents, including product recalls, with clear communication lines and constructive understandings about engagement with regulators and media. (Involving key customers in simulation exercises will also strengthen Fonterra’s relationships with those customers.)

(R15)（在事件管理团队监督下）与重点客户建立并维持对未来重点事件（包括产品召回）的有效响应方案，，确保建立明确的沟通流程，令客户能够以建设性的方式了解企业与监管机构和媒体的交流。（邀请重点客户参与模拟演习也会加强恒天然与这些客户的关系。）

(R16)Establish and sustain (with IMT oversight) relationships with a pool of scientific experts in food quality and safety who can speak to the media and the public in the event of an incident.

(R16)（在事件管理团队监督下）与一批食品质量和安全领域的科学专家建立并保持长期联系，他们可以在相关事件发生时面向媒体和公众沟通。

(R17)Continue building a directly-employed strong, specialist and experienced communications team, including in key global markets, supplemented with contracted high calibre local expertise where appropriate. (This is in line with Fonterra’s 2012 Communications Review recommendation, including advice from McKinsey & Co, and in part already acted upon.)

(R17)继续组建由恒天然员工组成的、经验丰富的强大专业沟通团队，在各主要海外市场同样建立这样的自有团队，同时酌情聘请高水平的本土专业公司作为补充。（这与恒天然2012年传播调查建议以及麦肯锡的建议是一致的，其中部分内容已经开始执行。）

(R18)Develop (through the communications team) a best practice “Master Communications Crisis Management Plan” aligned with the IMT’s Crisis Management Plan, as well as template documents for all foreseeable scenarios, and capable of being adapted by regional offices for local market conditions and stakeholder requirements.

(R18)（通过传播团队）建立全球领先的“危机管理传播计划总纲”，该计划总纲应与事件管理团队的危机管理计划以及为所有可预见危机制作的模板文档相一致，还需要能够方便各地区分支机构根据当地市场情况和利益相关者的要求进行调整。

(R19)Develop a communications style and approach which better reflect Fonterra’s values and aspirations as well as best practice risk communications, to enhance trust in Fonterra.

(R19)打造能够更好地反映恒天然的价值观和愿景以及能够体现国际上危机管理传播最佳实践的传播风格与方式，从而增进各方对恒天然的信任。

(R20)Conduct a systematic review of the quality of Fonterra’s relationships with key stakeholders in all its markets to assist in enhancing trust and with effective management of any future critical event.

(R20)在所有市场系统开展恒天然与重要利益相关方关系水平的调查，以期增进信任并有效地管理未来重大事件。

(R21)Consider the appointment of local advisory boards in each key foreign market to enhance capability, engage more sources of high-level advice and provide depth of knowledge of the politicians, regulators and opinion shapers.

(R21)建议在每个重点国际市场任命本地的顾问委员会来加强能力，从更多来源获得高层次建议，并获得对政府官员、监管机构以及意见领袖的深层次见解。

(R22)Establish a best practice digital and social media strategy, including stand-alone elements in, and responsive to the needs and nuances of, each key market.

(R22)建立一套行业领先的数字和社交媒体战略，包括针对每个重要市场具体需求和细微差别的独特因素和可适应性。

(R23)Enhance and sustain programmes for community investment, volunteering and giving as an investment in stakeholder engagement and goodwill.

(R23)加强并保持长期的社区投入项目、志愿者活动与捐赠，作为与利益相关者维持关系的投入，并获得善意和良好声誉。

## Governance 治理

(R24) The Board should explicitly endorse two unambiguous objectives as essential for Fonterra’s future, and consistent with its cooperative ethos –

董事会应明确支持下面两个对恒天然未来至关重要且符合合作精神的目标-

(a) a “one company” approach (with appropriate incentives, governance and management processes) to ensure that Fonterra as a whole performs consistently in the manner expected of a leading global food products organisation, and recognition of the paramount

(a) 遵循“同一公司”的精神（通过适当的激励、治理和管理流程），以确保恒天然作为一个整体，一以贯之地符合全球领先的食品企业所应具有的最高水平。

(b) Importance of Fonterra’s global reputation, and the need to achieve and sustain a reputation second to none for the quality and safety of its food ingredients and products.

(b) 确认恒天然全球声誉的重要意义，必须实现和保持食品原料和产品的质量安全在全球首屈一指的良好声誉。

(R25)The Board should explicitly accept responsibility for oversight of progress towards those objectives, including appropriate engagement with senior managers across the organisation, in particular with those managers responsible for championing the FQS imperatives.

(R25)董事会应明确其对上述目标的实现具有监督责任，其中包括与公司高级经理进行适度沟通，尤其是负责食品质量与安全的经理人。

(R26)The Board should develop its own protocol for crisis management, including: the roles of the Chair and the CEO; the means for ensuring that sufficient timely and accurate information is available for all directors to assess their regulatory obligations; and the expectations of directors' availability.

(R26)董事会应建立自己的危机管理方案，包括：董事长和首席执行官承担何种职责，如何确保所有董事均能得到及时、准确和充分的信息来评估其对监管机构的责任；对董事直接参与危机解决有何期望，等等。

(R27)The Board should transfer the Risk component of the Audit, Finance & Risk Committee's load to a separate Risk Committee, which should be expected to oversee the work of the proposed permanent Incident Management Team, with the expectation of direct engagement by the Committee with the leaders of that team.

(R27)董事会应将其审计、财务及风险委员会中的风险职责部分转移到独立的风险委员会。该风险委员会将监督拟议中、将永久建立的事件管理团队的工作，其成员将与事件管理团队的领导成员进行直接沟通。

(R28)Co-operative Relations Committee with a view to ensuring that it gives greater prominence to establishing and sustaining relationships with key external stakeholders, not least those within New Zealand's government infrastructure.

(R28)合作社关系委员会应更加重视与外部的重要利益相关者建立、维持良好关系，包括与新西兰政府各部门的关系。

(R29) The Board should consider enhancing a programme of proactively developing and sustaining its acquaintance and relationships with Ministers, MPs, senior officials, overseas diplomats, industry allies and other "NZ Inc" leaders.

(R29)董事会应考虑加强对外交流，积极发展与维护同新西兰部长、议员、高级官员、海外外交官、行业同盟以及其他代表新西兰整体利益和形象的各方领导者的关系。

(R30)The Board should develop and articulate an explicit position regarding the relevance (and, importantly, the limits) of Fonterra's "national champion" role in relation to Fonterra's aspirations, behaviours and relationships.

(R30)董事会应制定并阐明恒天然作为“国家第一大公司”对其愿景、行为和与各方关系的相关性（更为重要的是其限定性）。

(R31)The Board should encourage renewed investment by Fonterra to maximise the constructive collaboration with the New Zealand Government (including regulatory agencies), and the alignment between Fonterra's quality and commercial aspirations and the New Zealand Government's economic, food safety and diplomatic objectives and responsibilities.

(R31)董事会应鼓励恒天然继续加大投入，尽最大可能强化与新西兰政府（包括监管机构）的建设性合作，确保恒天然在质量和商业方面的目标与新西兰政府在经济、食品安全与外交方面的目标和责任步调一致。

(R32)"The Board should encourage investment by NZ Inc" (including the NZ Government, Fonterra itself and other food products firms) in ensuring that New Zealand has pre-eminent scientific and diagnostic resources for FQS purposes.

(R32)董事会应鼓励能够代表新西兰整体形象的利益共同体（包括新西兰政府、恒天然以及其他食品公司等）继续扩大投入，确保新西兰在食品质量和安全拥有卓越而领先的科技和检测资源。

(R33)The Board should consider inviting the independent WPC80 Committee members, and the Inquiry team principals, to meetings in the third quarter of 2014 and again in the second quarter of 2015 to review Fonterra's responses to the Inquiry's recommendations.

(R33)董事会应考虑邀请浓缩乳清蛋白事件调查委员会的独立成员和调查团队负责人在2014年第三季度和2015年第二季度再次会面，共同审核恒天然公司对调查建议的执行情况。