

## Fonterra Independent Board Committee

### 恒天然独立调查委员会

#### Media Statement

#### 媒体声明

October 29, 2013

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#### INDEPENDENT INQUIRY INTO FONTERRA WPC80 PRECAUTIONARY RECALL RELEASES FINDINGS

#### 针对恒天然浓缩乳清蛋白预防性召回事件独立调查发布结论

The Fonterra board-commissioned Independent Inquiry has made 33 recommendations to improve and build on changes already underway to address the issues that led to the *WPC80 Precautionary Recall* and affected Fonterra's responses to the event.

由恒天然董事会委托的独立调查业已提出总计 33 项建议，旨在完善和加强正在实施的改进措施，从而解决造成浓缩乳清蛋白预防性召回事件和影响恒天然对此事件的响应的各方面问题。

In a detailed report, the inquiry found that a number of factors, including a lack of senior oversight of crucial decisions, problems with tracing potentially affected product and belated escalation of the issue, contributed to the event in August this year.

详细报告表明，本调查发现，多重因素导致今年八月份该事件，其中包括对关键决策缺乏高级管理层监督，对潜在受影响产品进行追溯时出现问题，以及延误上报等等。

Speaking at the tabling of the inquiry report in Auckland today, Jack Hodder QC, who led the inquiry team, said: "Fonterra is a high quality organisation with talented and dedicated people. The WPC80 Precautionary Recall let them down.

今天在奥克兰举行的调查报告发布会上，调查团队负责人王室法律顾问杰克·霍德先生表示：

“恒天然是一家高素质的企业，其员工极富才能和奉献精神。而此次浓缩乳清蛋白预防性召回事件令他们感到失望。”

"There were shortcomings in a number of areas, which, compounded by a number of events and coincidences, converged to create this significant issue.

“恒天然在一些领域尚存在不足，而与此同时许多事件和巧合共同作用，导致了这次重大问题的发生。”

“Our findings and recommendations do not indicate any fundamental problems within Fonterra. That is not our conclusion.

“我们的调查结果和建议表明，恒天然并不存在任何根本性的问题。我们不认为恒天然存在任何根本性问题。”

“They do point to a range of improvements Fonterra can make to become an even better company.”

“但是，通过调查，我们的确发现了一些可以改进的领域，恒天然可以通过这些改进措施将自己发展成为一家更伟大的公司。”

The Chairman of the special oversight committee for the inquiry, also an independent Fonterra director, Sir Ralph Norris, said his committee “endorsed the key recommendations and themes identified by the inquiry team... It has undertaken a thorough, consultative, independent and incisive analysis.”

此次调查的特别监督委员会主席，同时也是恒天然独立董事的拉尔夫·诺里斯爵士表示，“此次调查进行了彻底、客观、独立和深刻的分析”，因此特别监督委员会“支持调查团队提出的主要建议和议题”。

The inquiry team was led by a legal team from Chapman Tripp, co-ordinated by senior partner Jack Hodder, QC, and independent experts Gabrielle Trainor, a Sydney-based specialist in crisis management and communication, and international dairy consultant, Jacob Heida of the Netherlands.

调查团队由查普曼·特里普律师事务所领导，由资深合伙人王室法律顾问杰克·霍德先生和来自悉尼的擅长危机管理沟通的独立专家加布里埃尔·特里纳，以及来自荷兰的国际乳品顾问雅各布·海达共同组成。

“The inquiry team recognises that Fonterra is well advanced on a journey from being a cost-focused dairy ingredients producer to being a customer-focused global foods products supplier that is second to none in its aspirations, standards and people.

“调查团队认为，恒天然已经顺利地开始从以成本为中心的乳品原料供应商向以客户为中心的全球食品供应商转变，其愿景、标准和人才方面都首屈一指。”

“Some areas of weakness have been highlighted, and this has created the opportunity for Fonterra to further strengthen its processes, culture and governance.

“调查指出了恒天然在某些领域的不足之处，这为恒天然进一步加强其流程、文化和治理创造了机会。”

“Acting on the recommendations made will lead to Fonterra becoming even more responsive to the global expectations of excellence in food safety and quality, and engaging more comprehensively with stakeholders.

“如能按照所提出的建议进行改善，恒天然将能够在食品安全和质量方面更加符合国际对其卓

越水准的期望，并与各利益相关方保持更为全面的沟通互动。”

“The findings and recommendations are important foundations for Fonterra’s continued success.”

“调查结果和建议是恒天然保持长久成功的重要基础。”

The Chairman of Fonterra, John Wilson, told the media briefing that the board of Fonterra was fully committed to implementing the recommendations made.

恒天然集团董事长约翰·威尔逊先生在媒体沟通会上谈到，恒天然的董事会承诺尽全力实施这些改进建议。

“What directors found encouraging is that this Independent report to the Directors has a significant degree of overlap with management’s Operational Review, which was made public last month.

他表示：“令董事们感到鼓舞的是，这一独立调查报告的结论与上个月管理层发布的运营调查一脉相承。”

“There are no contradictions between the two sets of recommendations.

“这两个调查提出的建议之间不存在矛盾。”

“Much of the recommended change is already underway, or has already been identified as needing to be changed.

“许多建议已经在实施之中，或已经被确认需要进一步改善的方向”

“We are committed to adopting a ‘best of class’ philosophy around food safety and incorporating the latest, world class methods into every facet of our operations.”

“我们承诺，将会把‘业界最佳’理念运用于食品安全当中，并将最新的全球最佳管理方式运用于我们业务运营的方方面面。”

He said the board had also committed to the reconvening of the Independent Inquiry Committee in 9 months, and again in 18 months, to assist the board in reviewing the progress that has been made against the recommendations.

约翰·威尔逊先生说，董事会已经承诺分别在 9 个月和 18 个月之后再次召集独立调查委员会，协助董事会审核恒天然公司对调查建议的执行情况。

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*Released on behalf of the **Fonterra Independent Board Committee**, chaired by Sir Ralph Norris, by Network Communication.*

由网络传播代表拉尔夫·诺里斯爵士领导的恒天然独立董事委员会发布

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*(Primary findings below)*

*(初步结论如下)*

# Primary Findings

## 初步调查结果:

- 1 Fonterra did not include any sulphite reducing clostridia (SRC) tests to any of its production of WPC, notwithstanding its acceptance of SRC tests under at least one contract with a major customer to manufacture products utilising WPC80.

恒天然没有在浓缩乳清蛋白产品的生产中做任何梭菌属微生物检测，尽管按照与至少一位重要客户的合同，恒天然接受对使用浓缩乳清蛋白制作下游产品提供梭菌属微生物检测。
- 2 Some errors of judgment were made in preparation for the reworking process applied to the relevant WPC80 batches.

对相关浓缩乳清产品进行再加工的准备工作时出现一些判断错误。
- 3 The standard pre-start up automatic cleaning regimes used by Fonterra plants required improvement.

恒天然加工厂标准的预设制自动清洗程序需要改进。
- 4 There was insufficient senior oversight of the crucial decision to engage AgResearch to test for *C. botulinum*.

对委托农业研究院检测肉毒杆菌的关键决策缺少足够的高层监管。
- 5 The commissioning, design and limits of the *C.botulinum* testing were inadequate.

对肉毒杆菌检测的委托、设计和限定不充分。
- 6 Fonterra was unable to promptly and definitively track the destinations of the affected WPC80 batches.

恒天然不能快速准确地追溯涉事浓缩乳清蛋白产品的流向。
- 7 There was only belated recognition (and delayed escalation to senior management and the Board) of the explosive reputational risk involved – a failure to “join the dots” between (a) *C.botulinum* (b) infant food products (c) consumer sensitivities and (d) Fonterra’s global reputation.

没能及早察觉（且延误上报到高级管理层和董事会）对企业声誉会产生爆炸性影响的风险- 未能看清以下四件事情的联系：(a) 肉毒杆菌，(b) 婴幼儿产品，(c) 消费者的敏感度，以及 (d) 恒天然的全球声誉。
- 8 Fonterra’s crisis management planning, including the external communications aspects, was inadequate for a crisis of this kind and scale.

恒天然的危机管理方案（包括对外传播）对此类型、此规模的危机显得捉襟见肘。

9 Fonterra management of the crisis in the critical early period, including the external communications aspects, was not well executed.

在危机初发的关键时期，恒天然危机管理（包括对外传播）执行不力。

10 There was some lack of alignment and confidence between Fonterra and the New Zealand Government in the critical fortnight after the contamination concerns were advised to the Government and made public.

在对潜在污染的担心上报新西兰政府并公之于众之后两星期的关键时期内，恒天然与新西兰政府在某种程度上缺乏协同和互信。

## Principal Operational Recommendations

### 对运营的主要建议：

1 Fonterra's food quality and safety specifications and testing be reviewed to ensure they are "best in class" standard: consistent with the most rigorous requirements of customers, and with international best practice.

需要审查恒天然的食品质量和食品安全规格要求及其检测制度，确保它们是业界“最高标准”：符合客户最严苛的要求，符合全球最佳实践。

2 Risk management and crisis management processes be strengthened, including by establishment of a specially trained and multi-disciplinary (but not full-time) Incident Management Team and regular relevant training, global best practice product tracing systems, and a new Risk Committee of the Board.

需要加强风险管理和危机处理流程，包括组建经过专门培训的跨部门事件管理团队（兼职），开展定期培训，建设世界领先的产品追溯系统，并在董事会设立新的风险管理委员会。

3 Reputational risk assessment form part of the criteria for escalation and assessment of non-standard external scientific tests.

需要对非标准外部科学检测组织评估并视情上报，其中，声誉风险评估应成为评估和上报的重要标准之一。

4 Plant cleaning programmes be amended.

需要改进加工厂清洗程序。

5 There be continued building of a directly-employed strong, specialist and experienced communications team, including in key global markets, supplemented with contracted high calibre local expertise where appropriate.

需要在集团和关键海外市场继续组建一支直接由恒天然员工组成的、经验丰富而强大的专业传播团队，同时酌情聘请高水平的本土专业公司作为补充。

6 There be enhanced and sustained efforts to address a "Fortress Fonterra" perception held by a material proportion of key stakeholders, by Fonterra redefining the style and substance of its engagement with them.

需要继续加强努力，通过树新风、勤接触，打破在相当一部分关键利益相关群体中的

“恒天然堡垒”印象。

- 7 The Inquiry be reconvened after 9 months and again after 18 months to review Fonterra's progress on those recommendations.

需要在 9 个月和 18 个月后再次进行调查，评估恒天然对以上建议的执行进展状况。

## Principal Board Recommendations

### 对董事会的主要建议：

- 1 The Board should endorse explicitly as a core principle that Fonterra, as “one company”, always strives to perform at the best practice level for leading global food product organisations.  
董事会应明确支持恒天然遵循“同一公司”的核心原则，始终执行最高标准，继续保持自身全球领先的企业形象。
- 2 The Board should explicitly endorse the paramount importance of food quality and safety to Fonterra's global and local reputation.  
董事会应同样明确支持恒天然将食品质量和安全视为影响其本地和全球声誉的重中之重。
- 3 The “risk” component of the Board's Audit, Finance and Risk Committee should be transferred to, and developed by, a new Risk Committee.  
董事会审计、财务和风险管理委员会的“风险管理”职能应移交至一个独立的风险管理委员会，由后者负责管理并继续丰富完善。
- 4 The Board should accept greater responsibility for developing and maintaining relationships at the most senior levels of Fonterra's external stakeholders, including in government and media, within and outside New Zealand.  
董事会应承担更大的责任，在最高层面与恒天然的外部利益相关者发展并维持密切关系，包括新西兰境内外的政府和媒体。
- 5 The Board should actively review ongoing progress towards shedding the adverse “Fortress Fonterra” perception held by a material proportion of external stakeholders.  
董事会应积极审查旨在消除相当一部分外部利益相关者持有的“恒天然堡垒”的不良印象的工作进展。