

新特能源股份有限公司

Xinte Energy Co., Ltd.

(A joint stock company incorporated in the People's Republic of China with limited liability)

Stock code : 1799

2016

Environmental, Social and Governance Report



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About this Environmental, Social and Governance Report

Xinte Energy Co., Ltd. (the “**Company**”) together with its subsidiaries (the “**Group**”) (hereinafter “**we**”, “**our**” and “**us**”) is the solar-grade polysilicon manufacturer and photovoltaic (“**PV**”) and wind power developer. In 2016, taking scientific outlook on development as guide and innovation as philosophy, the Group actively seized the industry development opportunity and adhered to the development idea of “Innovation, Coordination, Green, Openness and Sharing”. The Group has made good achievements in terms of the operating results, market exploitation and technology innovation by continuously focusing on the major development opportunities brought by energy Internet, smart energy, “PV Fore-runner” and “One Belt and One Road”, actively planning domestic and overseas markets, and accelerating scientific and technological innovation, transformation and upgrading.

As a new energy company, we acknowledged that the Group should not only create economic value, but also create social and environmental values. In 2016, we persistently developed our business while fulfilling social responsibilities. Being people-oriented, we encouraged the community to save energy and to protect the environment, created a better working environment for employees, emphasized on public welfare, and developed a harmonious integration between corporate development and the society and environment. We are pleased to publish the first Environmental, Social and Governance Report (the “**Report**”) of the Group, which is prepared in accordance with the Environmental, Social and Governance Reporting Guide of Appendix 27 of the Rules Governing the Listing of Securities on The Stock Exchange of Hong Kong Limited and mainly reports the sustainable development efforts and performance of our Group during the period from 1 January to 31 December 2016 (the “**Reporting Period**”) from environmental, social and corporate governance perspectives.

Performance of Social Responsibility



The sustainable development of the Group not only depends on the cooperation and support of our employees, customers and suppliers, but also the safe production of and participation in social services. We actively coordinate our development with enhancement of staff with knowledge and skills, continuously strengthen safe production, and take an active part in social public welfare undertakings to discharge our social responsibilities and promote social harmony.

1 Caring for Employees and Focusing on their Integrated Development

Employees are important treasure by creating values, so one of our significant development goals is to promote the integrated development of our employees. At the premise of strict compliance with the Labor Law of the People's Republic of China, the Labor Contract Law of the People's Republic of China and other labor laws where the Group operates, the Group has formulated various internal rules and regulations regarding recruitment and promotion mechanism, compensation and performance assessment, holidays and benefits. Focusing on the integrated development of its employees, the Group has been provided various learning opportunities.

1.1 Recruitment and promotion mechanism

In order to satisfy the human resource demand for the healthy development of various sectors, the Group expands its talent team and recruits excellent talents through campus recruitment, social recruitment and specific recruitment. The Group recruits the best talents based on an transparent, fair, and impartial principles and merit-based enrollment, regardless of the region, age, gender or nationality of the applicants.

Since the establishment of the Group, every employee enters into a labor contract with the Group upon employment, and terms stipulating his/her job position, working hours, work protection and remuneration, etc. will be specified in the said contract. According to the Labor Law of the People's Republic of China and Recruitments Management Scheme, the Group fully prevented the matters of child labor and forced labor. Meanwhile, the Group monitored such information related to labor employment on a regular basis to eliminate any malpractice regarding the use of child labor or forced-labor workers.

In 2016, the Group placed the focus of human resources management on staff recruitment, entering into labour contracts, remuneration management and legal employment (including prohibition on employment of child labour or forced labour) and thoroughly promoted the risk prevention and control for the human resources system. The preparation, amendment and implementation of various procedures and systems standardized human resources work and enhanced human resources management.

The Group provides fair development and promotion opportunities for its employees. The recruitment and assessment of employees are mainly based on whether they are qualified for the position. The Group adopts the policy of equal opportunity and implements the mechanism

of competition for post. The Group has set up scientific promotion and management system to standardize the selection, training, inspection and management of employees and evaluate candidates from the perspective of knowledge, experience, skills, capacity, performance and compliance. The differences and disadvantages are identified by comparing the aforementioned evaluation perspectives with qualification standards, so as to provide important basis for post evaluation, personnel appointment and talent development. Performance appraisal and 360° overall democratic evaluation are combined to objectively estimate the capacity of the reviewed person, and the annual assessment results are included in personal file as the job evaluation and employment reference of senior and team management.

1.2 Remuneration and performance assessment policies



Remuneration not only directly reflects the employees' value, but also being the indicator for the return of employees to take working responsibilities and create values. The employees' remuneration comprises of basic salary and performance-based salary. The Group, according to the requirement of development, further established and improved the overall responsibility management and staff performance assessment system on the basis of clear objectives of each post. The employees' performance is objectively and

accurately assessed by breaking down the key tasks specified in the development plan of the Group to each layer of various posts, clarifying the performance objective of different roles and setting performance standards. The assessment results are quantified to form the scores and are linked to the employees' quantified performance-based salary to encourage the realization of potential and working passion of employees, which fully demonstrated the combination of incentive and restraint and laid a solid foundation for orderly career development of employees.





1.3 Insurance, vacation and welfare system



In order to construct a reasonable employee insurance system and guarantee the interests of employees, the Group formulated the Insurance Management Measures (《保險管理辦法》) to further enhance the implementation of social insurance and management program for the retirees. The Group pays pension insurance, medical insurance, unemployment insurance, occupational injury insurance, maternity insurance and housing fund for all regular employees in a timely manner according to the regulations and purchased personal accident insurance for its employees with an insurance coverage of 100%.

All employees of the Group are entitled to annual leave, home leave, wedding and funeral leave, maternity leave, paternity leave and other statutory leaves. The Group respects its employees and helps them to perform their family responsibilities in order to achieve work-life balance. The Group also provides various welfares and allowances to ensure the better work and life of its employees, including canteen subsidies, shuttle bus and transportation subsidies, telephone subsidies, staff quarters, high temperature and winter vegetable subsidies, birthday gifts and various festival benefits.

1.4 Democratic management





Performance of Social Responsibility

The Group has encouraged employees to participate in its daily operation through the employee representative committee. Employees of the Group can understand the Group's strategy, goals, achievements, regulations, procedures through multiple sound communication methodologies and transparent information platforms, which ensure the employees' rights to information, participation and supervision.

The Group continuously strengthened democratic management, improved the Staff Representative Congress System, and held Staff Representative Congress and Democratic Life Meetings to enrich the activity carriers of labor union, broaden the staff rationalization proposal channels and fully motivate the enthusiasm and initiative of all employees to love their jobs and regard the Group as their home. The Group was awarded Urumqi Workplace for Workers (烏魯木齊市職工之家), Autonomous Region Model Workplace for Workers (自治區模範職工之家), and Workers' Vanguard in Urumqi City (烏魯木齊市工人先鋒號).

1.5 Development and training

The Group believes that training is the best welfare for staff and attached importance to the training of employees, and our training system has been further improved. The Group systematically identified training needs from the perspective of talent team construction, post qualification and business demands, and established a training course system corresponding to staff career for all employees regarding the career development at different levels and in different positions. Meanwhile, focusing on the cultivation of core employees in scientific and technological innovation projects and the recognition of qualifications in basic posts, the Group broadened the horizons and enriched the knowledge of employees, and constantly improved the staff self-discipline and professional skills by undertaking science and technology innovation, technological breakthrough and lean production projects.

- The Group advanced the effect of "Industry, University, Research" cooperation projects and overseas research and development institutions. The Group cooperated with Tsinghua University, Tianjin University, and Xi'an Jiaotong University for the joint research of polysilicon production technique, flexible DC technology and husbandry PV generation projects. The Group cultivated professional foregoers by cooperating with famous universities in Germany in chemical sector including Technical University of Munich and Aalen University through Germany Research Center for benchmarking communication and technology sharing.



- The Group adhered to the cultivation mechanism of “Teaching, Assistance and Guidance” for key talents, made core talents as instructors, and customized boutique training courses according to the training plan of internal lecturers. The training task indicators are analyzed at levels, and a good cultivation mechanism was established for apprentice and cadre employees.
- The Group continued to conduct the university-enterprise cooperation for talent cultivation by cooperating with Tianjin University, Harbin Institute of Technology and Xi’an Jiaotong University. The Group provided undergraduate, master and doctor learning platforms, created and cultivated such soil and environmental conducive to team learning and growth, and provided fundamental guarantee for the cultivation of technical team.
- The Group constantly revised and improved exam database and teaching materials related to employee job skills, and improved the difficulty gaps between different job skill levels to speed up staff growth. The Group fully enhanced the work enthusiasm and enterprising spirit of production and technical teams, motivated their professional passion, and elevated the skills and competence of workers at the production line, so as to achieve success in career and talent improvement and development.
- The Group strengthened the training and obtained certificate on operation of special equipment such as chemical pressure vessel, hoisting machinery, forklift and boiler. The standardized and normalized management level was enhanced through certificate acquisition training by consolidating basic education.

In 2016, our Group completed 171 internal trainings and 52 external trainings in total, mainly covering management of international projects, safety and quality, human resources, financial management and operation of special equipment, etc. The number of employees participated in the trainings reached 5,800 and the staff training rate reached 91%.

1.6 Caring for employees

With an emphasis on the corporate culture of “Developing for Employees and Relying on Employees, Sharing Development Achievements with Employees” and actively implementing the philosophy of “Creation and Share”, the Group further deepens livelihood-related projects and continuously promote the construction of harmonious enterprise. In 2016, focusing on the most needed, most urgent and most direct livelihood issues concerning most of the employees, the Group conducted “Livelihood-Related Projects” to address their children’s education issue by providing support to financially stressed employees, health care, training and employee marriage, and delivered a satisfactory “livelihood-related answer sheet” to its employees with practical actions, thus improving the production, living, working and learning environment and welfares of its employees.

Performance of Social Responsibility





- The Group held two group weddings, and a total of 72 couples began a new journey of life. The organization of group weddings is an effective solution to the practical difficulties faced by youth employees such as situated far away from their parents and their hometown, busy work, economic pressure, etc., and effectively enables employees to share the fruits of enterprise development and achieve common development with the enterprise.



- Young single profiles were created and matchmaking was achieved by the “Matchmaking Team” (紅娘團). A total of 6 parties were organized, and 303 young singles participated in such activities, providing young people with a platform for networking, dating and finding a girlfriend/boyfriend and assisting the unmarried youths with their marriage.

- With the accelerating pace of international development, increasing numbers of employees respond to the call to the frontline of overseas projects. In view of the situation of overseas employees, the Group has made great efforts to improve the happiness index of long-term overseas employees through the establishment and improvement of family-visit and leave system for overseas employees and providing overseas employees with welfare and developing activities abroad. The focus is on the caring for the family of overseas staff in order to alleviate the pressure of overseas employees.

Performance of Social Responsibility

- With the use of WeChat and other new media, the “Most Beautiful New Energy Craftsmen” (最美新能源工匠) was held online. The dynamic New Energy Printing (《新能源印畫》) column and New Energy (《新能源人》) magazine with sound effect were provided to deliver the correct values and positive influence, which not only affirmed the candidates but also motivated all employees.
- There are fruitful and various business exchange and reading activities. 10 reading sharing sessions were held. Middle-senior management cadres were encouraged to read the books with a number of no less than 80 per year, no less than 40 books for general staff with an aim to enrich themselves with knowledge.
- Physical activities are provided one after another to keep staff in good health and improve physical fitness. In 2016, outdoor quality development, basketball, badminton, fun games and other activities were provided for more than 70 times, and a total of 3,800 employees took part in the activities.



In addition, the Group is actively engaged in aiding the employees in straitened circumstance, condoling and visiting the employees, and caring for female workers so that they feel the warmth of the family at work.

- In 2016, the Group organized condolence activities for model workers, staff family members, staff in straitened circumstances, field marketing staff. A total of 262 employees receive such condolences. More than 100 condolences such as the Spring Festival, the project site, foreign projects, etc. were provided. 300 family members of the staff with long-term business trips were delivered with the condolences.



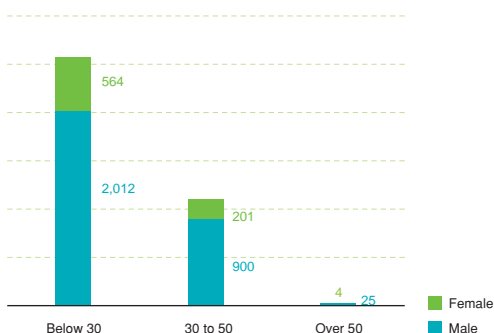


- In 2016, the Group comprehensively carried out the activities of “National Unity and Proprietorship” (民族團結一家親). The senior management of the Company led to pair with the minority employees in straitened circumstances. Assistance activities were given with respect to all aspects of employees including work, life and family.
- In 2016, the Group provided more than 700 female workers with benefits on the Women’s Day. Various activities such as women’s health and beauty lectures were developed, which effectively relieved the work pressure of female employees and enriched their spare time activities. The trade union also gave condolences to female workers in pregnancy to alleviate their anxiety and take maternity leave at ease. Meanwhile, the Group carries out the selection of “Woman Pace-setter” (三八紅旗手) for female workers. In 2016, 10 employees received the title of “Woman Pace-setter”, encouraging female workers to be independent.
- In July 2016, the Group invited the professional art performance troupes of Urumqi City Art Theatre together with Ganquanbao Industrial Park in High-tech Industry Development Zone (New Downtown) and grassroots communities to provide all employees with a feast of wonderful songs and dances.

1.7 Composition of employees

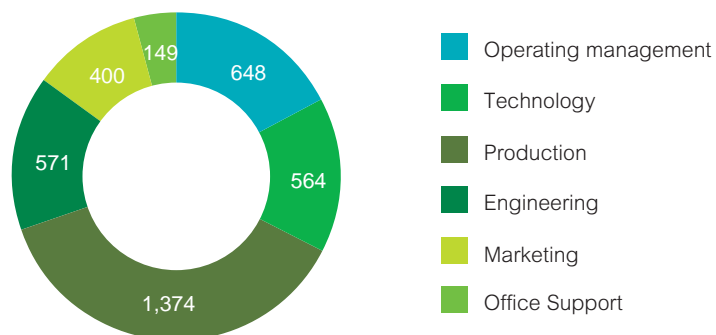
As of 31 December 2016, there are 3,706 employees in total in the Group, and they are classified as follows by age and gender, job function, education and region:

1 By age and gender

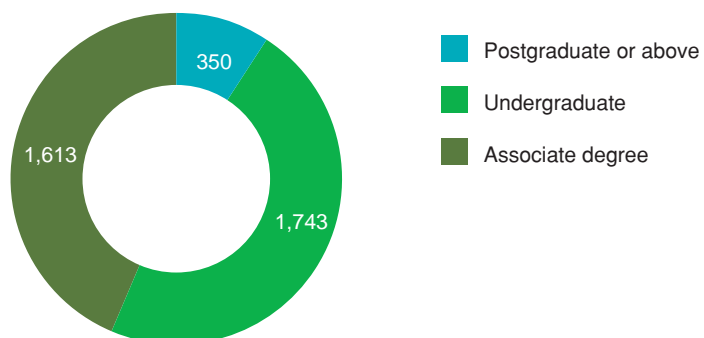


Performance of Social Responsibility

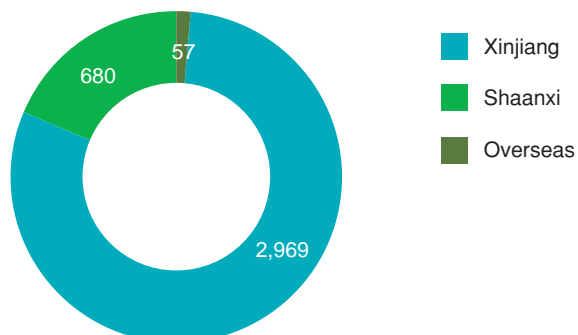
2 By job function



3 By education



4 By region

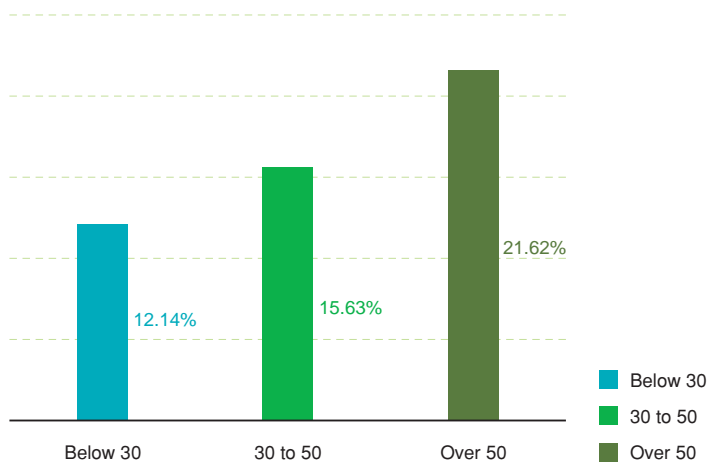




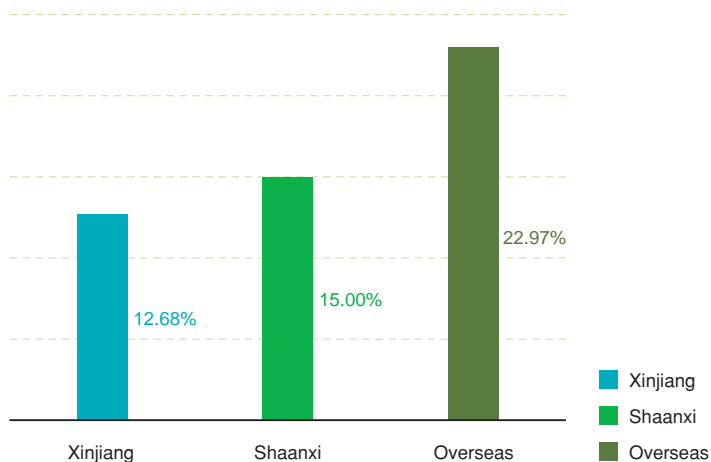
In 2016, the Group recruited 400 new employees, including 171 fresh graduates and 229 experienced talents, with the employee turnover of approximately 13.29%. Meanwhile, the Group employed about 200 persons by cooperating with 9 famous universities in China for professional personnel training, practice and ordering cultivation, including Tianjin University, Beijing University of Chemical Technology and Autonomous Region Youth League Committee Youth Employment Internship Base (自治區團委青年就業實習見習基地).

Employee turnover is as follows:

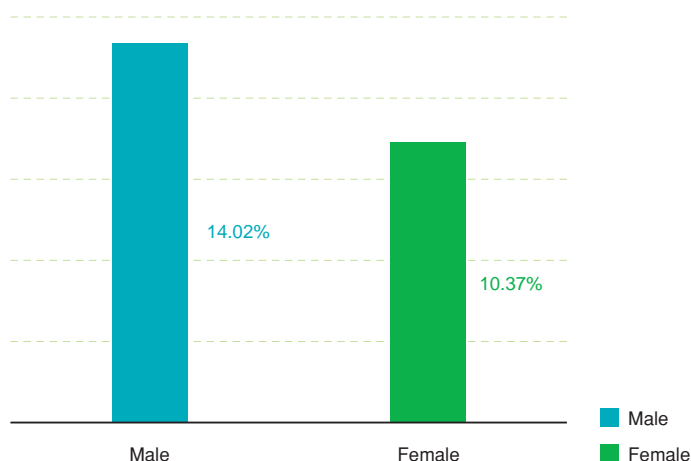
1 By age



2 By region



3 By gender



2 Occupational Health and Work Safety

The Group pays attention to the employees' health and safety, continually improves the working environment and strengthens health and safety management. The Group promotes safe and standardized production while establishing its occupational health and safety system. Routine services of employees are regulated by preparing the employee manual to raise the awareness of occupational safety and health of all employees and solidify the foundation of safety management. The Group has strictly abided by the state laws and regulations on occupational disease prevention and control, formulated a series of rules and regulations to guide employees to understand the occupational hazards that exist in the workplace, and procure that the employees fully grasp the knowledge of prevention and control of occupational diseases and thus enhance the self-protection consciousness.



It was the first time in 2009 that the Group has passed the external supervision and review by “Quality, Environment and Occupational health” systems and has obtained the certificate issued by the China Quality Certification Center. Since 2010, the Group has conducted an external audit on an annual basis. The Group has a safety and environmental management department that serves as the occupational health and safety management agency, and has six full-time professional health management staff, 73 part-time management employees, and 221 employees have obtained the certificate of internal auditor of the “Three Systems”.

In 2016, the Group adopted a number of measures in respect of occupational health and safety to further clarify job safety responsibilities, strengthen on-site safety protection measures, and ensure safety with systems, procedures and mechanisms.



Performance of Social Responsibility

- At the beginning of the year, the Company formulated work plans and programs for occupational disease prevention and control, including occupational health training programs, inspection plans, emergency drill plan, and testing plans indicating the completion criteria, completion time and responsible persons to be implemented in strict accordance with the work plans and programs.
- Regular training on health and safety has been provided on regular basis to have an understanding of workplace hazards, occupational hazards and precautionary measures. “Occupational Disease Prevention Law Week” (職業病防治法宣傳周) activities have been organized. Employees have gained an access to knowledge of occupational disease prevention and control through issuing occupational health sheet, organizing inspection of occupational disease protection equipment, and providing lectures on occupational health knowledge. Occupational hazards disclosure management has been improved. In particular, occupational hazards disclosure signboard has been provided. Safety warning signs and warning instructions in Chinese have been posted in occupational hazard areas.
- In 2016, 12 inspections were conducted for polysilicon production, and a total of 443 safety inspections of other types were provided, resulting in 100% rectification rate of hidden risk. The inspection focused on the domain of equipment and facilities integrity, thermal insulation, temporary management, safety management account, dangerous chemicals, major hazards, safety training effects, statement of safety goal responsibility, acceptance of equipment, etc. Mutual inspection of workshops and safety checklist method were checked and innovated so that the inspection would be performed according to the basis and standards. Scientific and standards checklists were prepared to further improve effectiveness and standardization of inspection.



- Physical examination was organized for all employees. Pre-post, in-service and off-post occupational health examinations were organized for the posts subject to occupational health hazards in accordance with relevant requirements. Occupational health care records were kept for employees to achieve 100% coverage. No incidence of occupational diseases or suspected occupational diseases has been reported so far.



- The worksite was inspected on both regular and an irregular basis. Matters incompliant with safety regulations were corrected in such a way that a good and safe working condition was created for employees. The workshops provided labor protection articles regularly according to the standard and monitored wearing of the same by employees. The production department carried out the annual workplace occupational hazard monitoring to ensure that various hazards at the workplace meet relevant national requirements.



- Safety and Environmental Protection Department, Engineering Supervision Department and Security Company formed a linkage mechanism of functional departments. The quarterly inspection was provided for construction in process and power stations, which was monitored by the Group. 1,574 issues and risks were rectified under guidance. The continuous safety inspection and hidden danger management improved basic safety work, strengthened accident prevention measures, eliminated or effectively monitored hazards and achieved 100% hazard rectification rate. Close-loop management was achieved.

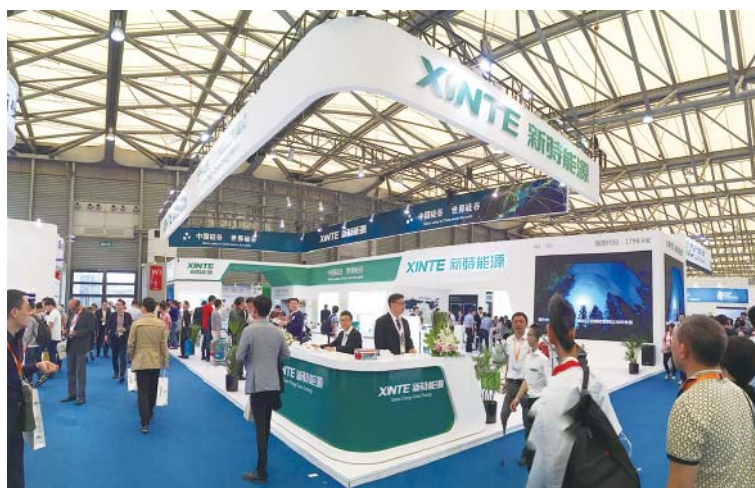


- A series of inspection and rectification activities were conducted in combination with holidays and festivals, windy weather in spring, heatstroke prevention in summer, flood prevention, antifreezing in winter, special equipment, electrical safety, “119” Fire Safety Awareness Day, flammable and explosive hazardous chemical substances and oils. Special inspection notice was issued to urge business units to organize self-inspection. Meanwhile, relevant feedback issues in routing inspection were sampled for inspection and reviewed to ensure effective identification and disposal of hidden dangers.

As of the year ended 31 December 2016, there was no material violation against national occupational health and safety regulations in the Group to the knowledge of the Group.

3 Customer Service and Supplier Management

The Group endeavors to be an excellent green-and-smart energy service provider, adheres to the corporate brand concept of “Green Science and Technology, Smart Environmental Protection, Reliable and High Efficiency”, provides our customers with high-end energy service resolution, and continuously improves our product quality and service satisfaction from customers to achieve a mutual growth between us and customers. In respect of choosing suppliers, we consider both product quality and environmental protection and establish long-term and stable strategic cooperation relationship with them to achieve a mutual development basing on a balanced, mutually beneficial and win-win way.



3.1 Customer service

The Group strictly complies with the principle of honest transaction, adheres to the operation aim of “satisfying customers”, implements the enterprise culture of “focus on customers, create value for customers”, and provides comprehensive service and green, environmental and energy-efficient high-quality products by leveraging on strong technology to meet special needs of customers. In addition, the Group constantly improves product design, production and pre-sales, in-sales and after-sales service, raising the operation guarantee capability for our products in a systemic way.

1 Enhance quality control

Serving product is the trigger of providing customer service. The Group adopts the quality oriented policy “Pursue Excellent Quality, Meet Customer Need” as guideline, comprehensively builds customer-oriented quality oriented culture with attention from leaders and participation of all employees and has established and completed quality management system and relevant policies and measures, to continuously improve quality control and raise quality and service.

In 2016, the Group launched a project-oriented policy in terms of core quality problems to solve quality difficulties through setting up projects against internal and external quality difficulties. In the whole year, the Group set up 138 projects named “Improve Efficiency Through High Quality and Low Cost” with 104 projects settled. These projects achieved a dramatic increase on production capacity proportion of electronic grade polysilicon from 5% in 2015 to 26.66% in 2016, representing a substantial growth.



In respect of product quality assurance, according to the strict demand of the Group, our Group adhere to the requirement that products qualified rate for testing shall achieve the standard qualified rate of products, but also the quality of suppliers' products is under severe control. In 2016, the qualified rate target for raw material was 98%, representing an increase of 0.56%; the qualified rate target for SVG once commission products was 90%, representing an increase of 3.5%; the qualified rate target for raw material of inverter was 98%, representing an increase of 0.47%; the number target for single external quality problems was less than 0.8, representing a decrease of 0.52.

In 2016, in order to improve the quality awareness of first-line workshops, groups and employees, the Group formulated the Quality Honor Evaluation Measures (《質量榮譽評選管理辦法》). Basing on the quality performance of each workshop, groups and first-line employees in daily production process, the Group established detailed and measurable evaluation standard and an evaluation system including three categories and 58 clauses of rules on quality honor evaluation, by which, the Group selected various excellent teams, backward teams, excellent individuals with proper reward and punishment, achieving an improvement of quality awareness of the staff to some extent.

The Group has formulated relevant measures for product recovery management. In the event where the products sold accompanied with any problem concerning product quality, relevant measures provide that the Group will establish a problem solution team as soon as possible to get contact with the customer concerned and prepare a solution to solve the specific problem occurred, and compensate the customer for the losses caused. The personnel responsible for the problem will be held fully accountable and trained. In addition, efforts will be made to look for vulnerabilities in production and quality inspection and internal rectification will be conducted in a prompt manner.

In 2016, there was no withdrawal of products due to the product quality and problems endangering safety and health.

2 Promote technology innovation

Innovation is the source of power for the development of enterprises. We believe that the leading position of our business and constant satisfaction of customers can only be achieved with continuous promotion of product innovation and scientific research. The Group sticks to independent innovation and currently operates our own leading national and local laboratory, technology centre and special research institute, design institute, quality testing centre and a R&D team comprising doctors, masters, senior and middle engineers and professional technologic talents. In addition, the Group undertakes several important national and provincial R&D projects, participates in the preparation of various national, industrial and local standards, and owns patents and confidential skills with core competitiveness. Meanwhile, the Group adheres to the customer-oriented concept and has established a research and innovation system by carrying out industry-research cooperation with research institutions and key colleges. Through continuous technology accumulation and innovation, the Group has achieved a batch of important scientific research results and patents, which have played an important function in the process of product development.

In 2016, the Group applied for 103 patents and technology secrets, and was authorized 69 patents. The authorized patents in China amounted to 322, as well as 6 international PCT; The Group actively participated in the compiling of 11 standards, including 1 international standard, 9 national standards, and 1 industrial standards. The Group participated in compiling the international standard of Ion Chromatography on Analysis of Chlorine Content in Silicon (《硅中氯元素含量分析離子色譜法》), representing a breakthrough in participating in compilation of international standard.

Performance of Social Responsibility

In 2016, the Group won 3 Chinese Patent Excellence Awards, 2 Autonomous Region Awards of Scientific and Technologic Advance, and 2 Autonomous Region Patent Awards. In which, the STC Recycling Technology Development and the Polysilicon Reduction Heat Energy Recycling were awarded the Scientific and Technologic Advance Award (First Class Award) and the Patent Award (First Class Award) of Xinjiang Uygur Autonomous Region respectively.



3 Enhance customer service quality

Customer is the foundation of enterprise development, and it is also a core content of corporate social responsibility to create value for customers. The Group constantly implements the operating aim of “satisfying customers”, and provides high-quality products and systemic resolutions through continuous innovation with focus on needs of customers to create value for customers and achieve a mutual growth.

The Group has established channels for smooth communication for customers to to achieve the goal of effective communication for service needs. As the customer-oriented direct contact, the project manager of the Group is responsible for conveying the problems and demands from customers to the service center, which will then transmit the same to relevant business departments engaged in research and development, procurement and production depending on the service types; in addition, 400 customer service hotlines have been set up and standards have also been published to standardize customer complaints treatment procedures and give specific quantization requirements on treatment authority and timeline based on the severity of the issue. Moreover, the number of customer complaints and response time have been further included in the scope of assessment mentioned in 1.1 above, forming closed-loop management.

In order to have a better understanding on the actual needs of customers, the Group has strengthened communication with customers, conducted scientific analysis basing on the comparison of customer categories, operation patterns and various data, organized various customer experience service activities. In addition, the Group has regularly visited customers and actively listened to the feedback of customers, and created maximum value for customers through various methods and channels. While paying attention to multiple ways of communication with customers, the Group established independent overseeing policy, pursuant to which, the market department was responsible for the customer satisfaction survey and would supervise the problem handling against the opinions given back from customers. In 2016, the Group totally gave out 310 schedules of survey on service quality and recovered all of them. In 2016, the Group recorded average customer satisfaction rate of 92.86%, representing an increase of 2.8% compared to 90.06% in 2015. All cooperative customers were involved in the survey.

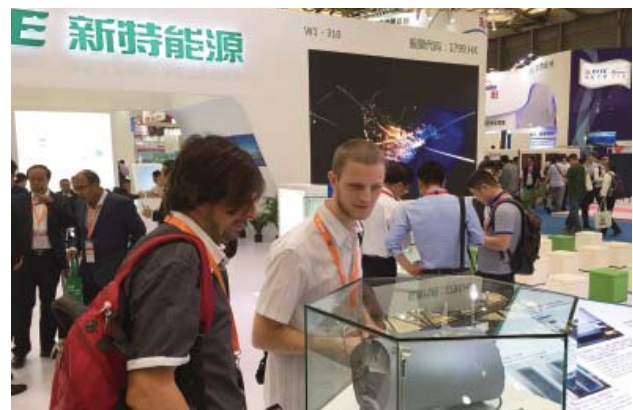


In 2016, the Group strengthened the connection and communication with customers. While connecting production and market, the Group feedback the needs and opinions of customers to production and quality testing departments as soon as possible, constantly completed customer satisfaction mechanism, tracked and recorded product testing data. Through continuous promotion of concept of “To Grow Together with Customers” (與客戶共同成長), while improving each test, the Group changed the need and wish of customer to quality improving project to be implemented, continuously optimized production structure and quality control technology, and provided excellent customer service. The Group carried out product customization service and quality improvement work according to needs of customers. The delivery volume of customization products increased by 2,611.89 tons as compared to the corresponding period of 2015, representing a year-on-year increase of 27.12%. Meanwhile, the Group built a product category mainly comprising No. 1–4 clean silicon materials, rod silicon materials and clean cauliflower silicon materials. Monocrystalline silicon customer number increased to 4 in 2016 from 3 in 2015, which basically covered large-scale monocrystalline silicon enterprises of China.

High degree of recognition from customers led the Group to stand out in 2016 industrial evaluation and be awarded the title of Top 10 of Material Suppliers in PV industry and the title of Excellent Supplier from several customers. In addition to enhancing communication with customers, the Group also draws attention to customers’ privacy and information protection. The Group protects customers’ information from leakage and irregular operation through various safe technologies, and legally uses customers’ information strictly according to security regulation.

3.2 *Supplier management*

The Group considered the competitive green supply chain as the target of supplier relationship management, and regarded the suppliers as a part of benefit community, according to the honesty, integrity and mutual benefit principle, created a benefit-sharing, risk-sharing and win-win cooperation with our suppliers.



Performance of Social Responsibility

The Group has established and completed supplier management policy and supplier evaluation system, managed and timely updated the information records of suppliers, the Group has built the Qualified Suppliers List and organized the appraisal on qualification of suppliers. The Group has reviewed and evaluated the current business of qualified suppliers, optimized supply structure, completed supply system and raised supply standard to ensure that the product quality, environmental condition, price, production and delivery capacity of suppliers could constantly meet the demand of the Group, and that they could offer high-quality after-sales service, so as to guarantee our production and project construction.

The Group has placed its focus alongside with on supply chain development for a long term. The relevant system consists of material purchase, supplier management, quality control and comprehensive evaluation on suppliers. In 2015, in order to provide a fair, impartial and public competition platform to suppliers, the Group established the Fair Purchase Platform (陽光採購平台) to offer the suppliers with a unified platform for registration, inclusion and bidding. In 2016, the Group began to use the Supply Chain Management Platform (供應鏈管理平台) with the principles of intensive management, transparent business, efficient communication and controllable risk. Basing on the internet + network information platform, the Group realized the systemic management on various stages including supplier resource base management, new supplier on probation and admittance, supplier quality tracking, evaluation and classification, examination and quit. Through this project, the Group will establish a closer relationship with our suppliers, firmly protect the legal interest of suppliers, and advance suppliers to adopt green and environmental raw material and energy-saving device and continuously adjust product structure with the aim of energy conservation, environmental protection and high quality, and lead the supply chain to develop in a scientific and environmental way and to undertake more social responsibilities.





On 18 March 2016, the Group held the suppliers meeting of 2016 in the International Conference Centre of Changji, Xinjiang. The meeting focused on the theme of cooperation, innovation, mutual benefit and creating perfect project, and invited over 260 representatives from 135 suppliers with long-term cooperation across the country. In the meeting, the Group announced its bidding, purchase and finance policy, answered questions in supplier Q&A link, entered into joint innovation agreement with several suppliers, praised 28 excellent suppliers of 2015, and announced the preference policy for excellent suppliers, laying a firm foundation for the future cooperation. Meanwhile, in the suppliers meeting, the Group introduced its polysilicon, inverter, SVG and other new products and new technology, raising the brand awareness.

In 2016, the Group organized the supplier satisfaction survey, with totally 825 qualified suppliers involved in the qualified supplier evaluation, completed 4 supplier evaluations, and knew the satisfaction of suppliers on the purchase management, bidding management, project management and finance management of the Group by way of on-line and WeChat questionnaire survey respectively, and prepared survey report on the satisfaction of suppliers. The Group considered the opinion and took the advice in relation to the acquisition from the suppliers and made corresponding improvement on the issues raised by suppliers in the future work and constantly optimize the supplier chain system.

4 Anti-corruption Behavior Promotion

In order to enhance the protection of the relevant parties, the Group further promoted anti-corruption behavior to create clean, fair and impartial internal and external environment, raise the self-control capacity of the staff and build a high-quality team. The Group strictly complied with the law and regulation on prohibiting bribery, blackmail, fraud and laundering, established strict anti-corruption risk prevention and control system in the enterprise, regularly reviewed bidding and purchase system, project system and finance system, improved internal control policy and formulated relevant reporting stimulation policy to strictly prevent corruption risk.

The Group built an anti-corruption system with key elements on early prevention, process control and late accountability, and further completed the unified management of discipline inspection and supervision departments, deeply promoted the standardization of discipline inspection and supervision work, extended the supervision to subsidiaries, improving the anti-corruption system. The Group completed the reporting channels by opening various methods including email, hotline, advice box and WeChat platform. Upon receiving any report, the Group immediately built a joint group to investigate the illegal behavior, collect proof and implement accountability for responsible person.

Performance of Social Responsibility

In order to educate a large group of staff, ensure a clean working environment and guarantee the lasting development of the Group, the Group endeavor to deeply launch the anti-corruption education to raise anti-corruption awareness of the staff, promote anti-corruption behavior and sufficiently play the anti-corruption function of anti-corruption culture in the enterprise, so as to comprehensively raise the overall strength of the enterprise. In 2016, the Group constantly improved anti-corruption policy and raised the anti-corruption awareness of the staff through various education activities.



- The Group organized middle and senior management and core personnel in marketing, developing, engineering, bidding, supply chain and finance system to the fourth prison of Xinjiang Uygur Autonomous Region, the anti-corruption education base, to receive warning education, made them to directly know the serious consequence brought by illegal behaviors through listening to the personal experience of economic criminal, watching warning education movie and visiting anti-corruption education exhibition room, and to enhance their anti-corruption awareness.
- Through internal communication platform, the Group sent picture and text contents about anti-corruption education on every Tuesday, Thursday and Saturday, alongside with 6 anti-corruption panels, 10 supervision and report billboards, published 3 periods of special publication, collected 11 pictures of anti-corruption cartoon, and extended anti-corruption education to all the staff by multi-platforms propaganda and education.



In 2016, the Group carried out 23 times of warning education with 1,813 person participated, organized 22 times of compliant training with 2,722 person participated, issued 48 anti-corruption reports and articles, signed over 90 key post responsibility letters for anti-corruption target, conducted of anti-corruption conversation for middle and senior management with 128 person participated, regularly announced and put up reporting channels of the Group, issued the Notice on Enhancing Anti-corruption Management and Control in Suppliers and Construction Departments to reinforce the anti-corruption management and control in suppliers and construction departments.

As of 31 December 2016, there was no legal cases caused by corrupt problems to the knowledge of the Group.



5 Social Welfare

The Group has actively participated in public activities, conscientiously performed corporate social responsibility, gave back to society with appreciation, and endeavored to create harmonious public relationship. While participating in local economic development, the Group also participated in public activities, endeavored to improve the living standard of local people, and brought job opportunities, striving to contribute more to the social harmony and development.

- In 2016, the Group recruited 400 employees including 229 middle and senior talents and 171 excellent college graduates, making contribution to the society alleviated the employment pressure.
- In 2016, the Group extended education-oriented poverty alleviation to Makit County in south Xinjiang. Due to the poor educational infrastructure, the county met with financial difficulty in the construction process, which directly influenced on the supply of infrastructure of campus in autumn and winter. After learning about this difficulty, the Group gave one-time capital support of RMB120,000 to Makit County, and supported to carry out the construction work seamlessly, solved the children study problem and improved local educational environment.
- In May 2016, during the construction period of 100MW wind power project in Guyang of Inner Mongolia, the Group actively participated in local project of Caring Left-behind Children, under the leading of education bureau of Guyang, donated bedclothes and living goods to the Xin Qu Guang Ming Primary school of Guyang County, trying our best to help those left-behind children.
- In recent five years, the Group went into various poverty alleviation places across the country to support local poverty alleviation work. The Group successively mobilized all the staff and donated over 1,000 clothes, study goods and sport goods to impoverished regions, poor primary schools and schools for the mentally retarded, and received appreciation letters and silk banners from society, creating favorable corporate reputation.



Perform Environmental Responsibility

With development of society, the expectation on environment protection has enhanced persistently, to develop clean energy is the fundamental solution to achieve global energy structure adjustment in order to provide solution for energy crisis and environmental crisis, and achieve a harmonious development between human and nature. As a leading new energy enterprise of China and the world, the Group has always made every effort to provide comprehensive and green smart solution for national and international environment and alternative energy work, and continuously and efficiently offers clean energy. While complying with the Environmental Protection Law of the PRC, the Law of PRC on Environmental Impact Assessment and the other relevant environmental protection laws and regulations, the Group has established internal policies to stipulate the requirements on production environment mainly in respect of discharge management of three wastes (waste gas, waste water and industrial residue), site environment management, environmental scrutiny, clean production, evaluation, rewards and punishments, so as to ensure environmental quality and constantly raise corporate governance on environment through proper administrative guidance.

1 Vigorously Develop Recycling Economy, Recycle Resources, Reduce Discharge

The Group vigorously develops polysilicon and coal power integration recycling economy chain projects, adopts the principle of “Discharge Reduction and Recycling”, and maintains the core value of efficient use and recycle of resources. The Group treats low consumption, low discharge and high efficiency as targets, energetically promotes green technology innovation, and realizes energy saving, material saving, environmental protection and comprehensive use of resources by using advanced resource saving and environmental protection technology. On the one hand, the Group systemically reduces resource consumption and wastes to raise the utilization efficiency,





realize the integrated use of various resources, constantly raise green manufacture standard, and gradually achieve zero discharge of waste water from production. On the other hand, the Group energetically recycles various waste resources and actively develops green product systems for energy saving, environmental protection, water saving, recycling and low carbon. While continuously solving environmental problems, the Group effectively utilize the correlation of multi-industrial chaining and metabolism in order to develop recycling economy and raises the efficiency of various raw materials utilization, energy recycle, water resource recycle and solid waste utilization to the maximum extent, so as to realize the harmonious development of enterprise and environment.

According to the relatively large self-use volume of power and steam on polysilicon device and ancillary device, the Group has established a self-supply power plant (2×350MW). While complying with national regulation on heat-to-electric ratio, the Group adopts the pattern of setting electric capacity according to steam volume and integrated production of heat and electricity, the power and steam supplied through above pattern can meet the normal use of polysilicon and chlorine devices and significantly reduce the production cost.

The Group has committed to enhance the protection of water resources. The water resources used in production are mainly surface water, qualified wastewater after sewage treatment, urban reclaimed water and a small amount of underground water. There is no material issue in respect of acquisition of water source. The Group has strictly complied with the relevant national regulations on use of water resources. The Group implements the water saving principle in process of design and production technique. The Group uses recycling cooling water (representing 99% of the total cooling water volume) to the possible extent for the heat exchangers of the production equipments which should be cooled by water; recycles all of the process condensate, steam condensate of production equipments; uses reclaimed water for flushing and greening work; uses heat integration utilization technology to produce steam via high temperature water of reduction furnace and hydrogenation furnace for rectification, gas purification and recycling process, recyclable gas brings almost 80% of heat energy from reduction furnace, which reduces the use of cooling water; adopts air cooling technology and





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water-saving cooling technology to save water to the possible extent; delivers qualified waste water processed by waste water process station, drained water from purification station, drained water from recycling water, drained water from heat power station to water recycling and process station for processing and recycling.

The Group fully adopts new technologies (such as cascaded utilization of energy, alternative energy-saving distillation technology, energy-saving frequency conversion technology and harmonic management technology), new devices (such as large-scale energy-saving reduction furnace, high-efficiency packing and energy-saving transformer) and new materials, which are self-developed, introduced and developed through industry-research cooperation, to improve the production rate and enhance utilization efficiency of resource and decrease the emission of wastes. For example, the Group adopts advanced management technologies in the main installation of tail gas recovery, hydrochlorination, distillation purification and reduction to raise the utilization efficiency of energy in order to reduce by over 20% of tail gas omission; adopts alternative energy-saving technologies and new devices to reduce consumption of key devices and key installations with high energy consumption, realizing a decrease by over 15% in terms of comprehensive energy consumption compared to existing technologies in the country and industry.

The Group energetically promotes clean production to reduce emission of pollutant. The Group reduces and avoids the emission of pollutant from the source of installations, and applies advanced management technology to make a stable operation of installation and reduce emission points; adopts advanced dust removal technology to reduce the emission of waste gas and dust from hydrochlorination installation and product arrangement procedure and make the emission in compliance with relevant national and industrial standards; actively introduces and develops zero discharge technology, poisonous and harmful substance replacement technology, recycling technology, green remanufacturing technology to reduce the discharge of waste gas, waste water and waste residue of installations, thus to raise the waste utilization rate.



2 Resource Utilization, Three Wastes Discharge and Solid Waste Disposal

Even though the Group engages in new energy industry and mainly uses wind and solar resources to create power, in the process of production and operation, resource consumption and waste discharge are unavoidable.

Major types and volume of resource consumed in the process of production and operation of the Group in 2016 are as follows:

Items	Consumption	Density
Energy:		
Electricity (10 thousand kWh)		
— Use in production ⁽¹⁾	207,164	90,861kWh/ton
— Use in office	588	N/A
Diesel oil (ton)	100	0
Coal oil (ton) ⁽¹⁾	2,460,000	108
Water:		
— Use in production (10 thousand m ³)	954,268	418,539m ³ /ton
— Use in office (10 thousand m ³)	228,567	N/A
Packaging materials:		
Wooden materials (ton)	554	0.02
Paper materials (ton)	1,018	0.04
Plastic materials (ton)	486	0.02

(1): in the electricity used in production, 1,927.85 million kWh of electricity used in polysilicon production was from burning coal in self-supply power plant of the Group.





Perform Environmental Responsibility

In respect of wind and solar resource development, the Group mainly leverages solar and wind to generate electricity, purchases devices in the middle stream of industrial chain including battery pack, support, draught fan, tower for installation and management, in this process, there is no waste to be discharged. In the polysilicon production, the Group uses silica powder and coal resource as basic raw materials and power, and there will be some wastes to be discharged.

In respect of polysilicon production, waste gas generated mainly comprises oxynitride and oxysulfide; solid and liquid wastes mainly comprise hydrolysate produced in processing waste water of polysilicon and coal ash, furnace slag, desulfurization gypsum produced in operation of self-supply power station boiler. Hazardous wastes mainly comprise waste oil replaced for equipment lubrication and waste catalyst replaced for denitration facility. The types and volume of wastes discharged are as follows:

Items	Discharge (ton)	Density
Waste gas:		
Dust	107.0	0.005
Sulfur dioxide	289.8	0.013
Oxynitride	802.6	0.035
Waste water:		
COD ⁽¹⁾	25.9	0.001
Ammonia nitrogen	0.9	0.000
Hazardous wastes:		
Waste oil	21.3	0.001
Waste catalyst	95.1	0.004
Harmless wastes:		
Landfill solid waste	323.9	0.014

(1) COD is chemical oxygen demand, an important indicator reflecting organic pollution in water.





In respect of above waste discharged, the Group has adopted various measures to reduce or to properly dispose, and the details of disposal are as follows:

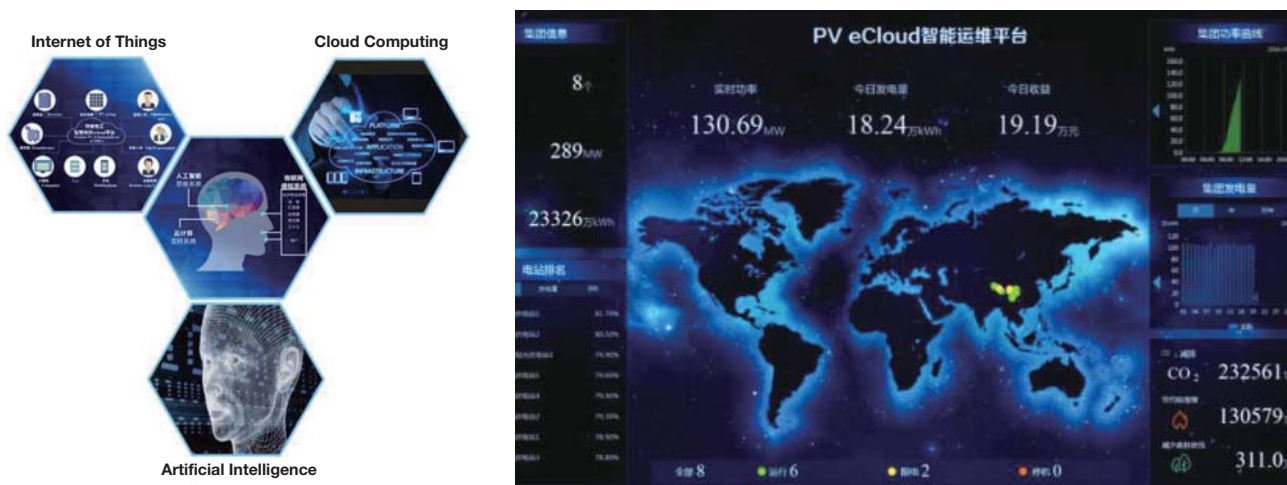
- The Group introduces polysilicon by-product hydrochlorination processing technology, makes heat energy exchange between the materials that need to be heated by steam and the high-temperature materials to raise material temperature, as a result steam consumption and cooling load of the system has been reduced. We also replace the electric energy used by the material vaporizer in hydrochlorination system with the surplus steam of the power station to reduce consumption and realize recycling of condensate.
- Building slag field in accordance with the construction standard of general solid waste landfill site can meet the disposal need of all hydrolysate under current production condition. In order to efficiently reduce the production of hydrolysate, the Group implemented the “Project on Waste Chlorosilane Recycling Technology Renovation” (廢氯硅烷回收利用技術改造項目), and recycled high-boiling residues and low-boiling residues discharged from polysilicon production.
- In respect of the coal ash, furnace slag, desulfurization gypsum produced in self-supply power station, part of them was recycled by the Group for the production of aerated concrete and sale. The Group produced 159,000 m³ of aerated concrete in 2016. For the remaining part, the Group entered into disposal and utilization agreement with other building companies for the materials production use. Thus through the above measures, we achieved 100% of recycle of solid waste from self-supply power plant.
- In respect of hazardous wastes produced, the Group appointed qualified manufacturer and the hazardous wastes disposal centre specified by government to legally dispose hazardous wastes. In 2016, the Group legally transferred 9.3 tons of waste oil and 95.05 tons of waste denitration catalyst. In order to reduce the production of waste oil from equipment lubrication, the Group conducted effective supervision on daily maintenance of devices, which significantly reduced the production of waste oil. In 2016, the waste oil produced by the Group decreased by 15 tons compared to 2015.
- In order to reduce the dust produced during the process of polysilicon production, the Group constantly enhanced the injection of technologies and devices. In 2016, the Group added RMB45 million of investment in the minimum discharge transformation on dust removal installation. After the implementation of the project, dust emission could be controlled within 10mg/l.

In respect of wind and solar resources development and in order to raise the conversion efficiency of energy, the Group independently researched and developed eCloud, an intelligent operation and maintenance platform. This platform is an energy management platform based on modernized communication technology, cloud computing, big data, internet of things



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technology. It could realize intelligent cloud operation, maintenance and management on all of PV power plants, wind farms, intelligent devices and enterprise energy of the Group, and facilitate the enterprise achieve its core values, i.e. realizing stable increase of revenue, protect safety of assets, standardized management and support on decision of the Group. Currently, this system has been applied to the power station with capacity of 1GW and maintains favorable operation, which not only positively supports the daily operation and maintenance and production management of the power station, but also greatly helps to save labor and resource expenses. In September 2016, on the first session of the leadership forum for energy internet of 2016 sponsored by China Energy News, eCloud, our intelligent operation and maintenance platform, our Group was awarded the Energy Internet Special Contribution Award (能源互聯網特別貢獻獎), which represents our efforts on the research and development in area of “Internet + Intelligent Energy”.



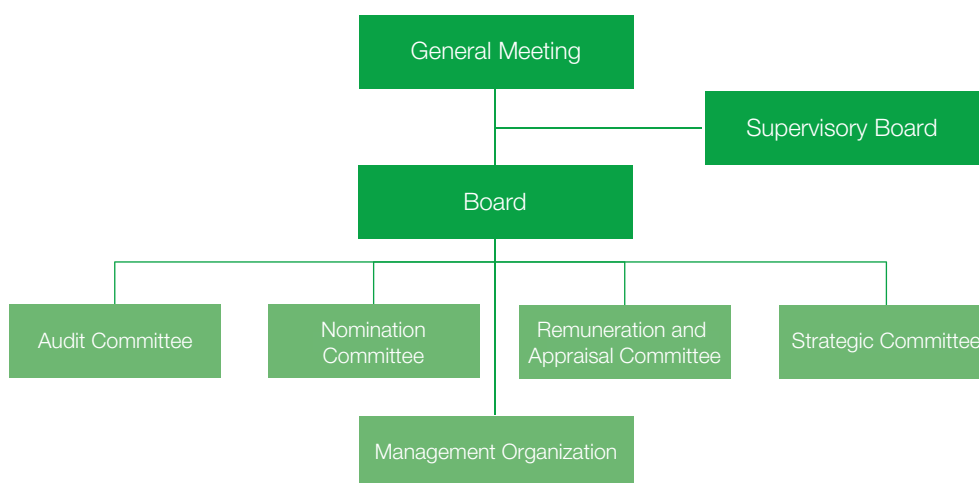
In February 2016, the Company was awarded the title of “National Experimental Enterprise for the Ecological (Green) Design of the Industrial Product” (國家工業產品生態(綠色)設計試點企業), representing the recognition of the country on our persistence on the concept of “Green Design, Green Production, and Green Management” (綠色設計、綠色生產、綠色管理), reflecting that the Company makes ecological design as the important method to achieve sustainable development target and establishes ecological design promotion mechanism and appraisal system.

The Group fully leverages its natural resources, enhances wind and solar, PV resources development, energetically researches and develops the most advanced international technology by constant science and technology innovation. The Group also endeavors to explore resource development for new businesses, explore distributed PV power, decentralized wind power and micro-grid energy storage, and continuously pursues high-efficiency utilization of resource and energy. As of 31 December 2016, the Group utilized the operation capacity of PV and wind power station over 1GW (including established and not yet been transferred power stations), accumulatively delivered over 0,899 billion kWh of green power, representing saving 292,900 ton of standard coal, reducing 896,300 tons of discharge of carbon dioxide, and decreasing 20,700 tons of discharge of sulfur dioxide.

Corporate Governance



In strict accordance with the Company Law of the People's Republic of China, the Articles of Association, the Rules Governing the Listing of Securities on The Stock Exchange of Hong Kong Limited and other laws and regulations as well as normative documents, the Company has set up a modern enterprise organization system and operation mechanism with checks and balances among the general meeting, the Board, Supervisory Board and management, continuously improved the corporate governance system, and optimised internal control while strengthening risk management to promote the efficient, scientific and normalized operation as well as coordinated development of business of the Company.



For details of corporate governance of the Company, please refer to the Corporate Governance Report in the 2016 annual report of Xinte Energy Co., Ltd.

Outlook



During the “13th Five-Year Plan” period, Chinese alternative energy industry goes into a stable growth period with strong development power and prosperous future in spite of various challenges. We will more actively seize the industrial development opportunities, make the long-term strategy of the Group as the orientation, undertake the social responsibility to our employees and environment while creating profit and being responsible for interest of shareholders, so as to achieve maximum value of shareholders, employees, customers, suppliers and other stakeholders, and to realize a harmonious, sustainable development of the Group and economy, society and environment as a whole.

Looking into the future, the Group will continue to stand on the production of polysilicon and the development of wind power and PV resources while facing with the opportunities and challenges brought by the rapid internationalization and the structure transformation and upgrade of alternative energy industry, and fully leverage its advantages in management, science and research, resources and other aspects, bring environmental protection concept into daily production and operation, so as to achieve a harmonious and prosperous ecologic environment. Meanwhile, the Group will reinforce talent teams and complete talent training and developing mechanism; care for employees and pay attention to their health and safety; stick to quality-oriented principle, enhance supplier management, and provide customers with high-quality service; stand on business development and actively participate in public welfare undertakings to perform corporate social responsibility by carrying out multi-channel and diversified public welfare activities.

The management of the Group and each of employees will embrace reform with more open mind, pursue excellence, forge ahead, and steadily perform social responsibility to realize value sharing with our stakeholders and common prosperity of the society.





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