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1. Introduction

Transport of lithium ion batteries is in the scope of Dangerous Goods Transport Regulations. Therefore many specific requirements have to be respected for their transport.

The following recommendations have been created to provide initial practical guidance to the regulations of the transport of lithium ion batteries.

It refers to the commercial transport by

- Road / Rail (ADR/RID)
- Seafreight (IMDG)
- Airfreight (IATA)

Lithium ion batteries are classified as follows:

- UN3480 Lithium Ion batteries
- UN3481 Lithium Ion batteries contained in equipment
- UN3481 Lithium Ion batteries packed with equipment

Especially the watt-hour rating and other conditions classify which dangerous goods regulations must be taken into account for the transport of lithium ion batteries. Please refer to the product data sheet.

For all shipments, it is required that all personnel involved in the preparation and transport of lithium ion cells or batteries receive adequate instruction on these requirements or Dangerous Goods training.

In individual cases, a dangerous goods expert should be consulted. Local authorities are responsible for the interpretation and implementation of the relevant regulations. They can make decisions differing from this quidelines. Therefore, no liability can be assumed for the content and the completeness of this document.

2. Provisions for Lithium Batteries carried by Passengers on Aircrafts

Certain restrictions apply to the carriage of lithium metal and lithium ion batteries even when carried by passengers as baggage. Only batteries that have successfully passed the Tests outlined in Part III, Sub Section 38.3 of the UN Manual of tests and criteria may be carried.

TABLE 2.3.A Provisions for Dangerous Goods Carried by Passengers or Crew (Subsection 2.3)

Dangerous goods must not be carried in or as passengers or crew, checked or carry-on baggage, except as otherwise provided below. Dangerous goods permitted in carry-on baggage are also permitted "on one's person", except where otherwise specified.

The pilot-in-command must be informed of the location				
Permitted in or as carry-on baggage				
Permitted in or as checked baggage				
The approval of the operator is required				
Alcoholic beverages, when in retail packagings, containing more than 24% but not more han 70% alcohol by volume, in receptacles not exceeding 5 L, with a total net quantity per person of 5 L.	NO	YES	YES	NO
Ammunition (cartridges for weapons), securely packaged (in Div. 1.4S, UN 0012 or UN 0014 only), in quantities not exceeding 5 kg gross weight per person for that person's own use. Allowances for more than one person must not be combined into one or more packages.	YES	YES	NO	NO
Avalanche rescue backpack, one (1) per person, containing a cartridge of compressed gas in Div. 2.2. May also be equipped with a pyrotechnic trigger mechanism containing less than 200 mg net of Div. 1.4S. The backpack must be packed in such a manner that it cannot be accidentally activated. The airbags within the backpacks must be fitted with pressure relief valves.	YES	YES	YES	NO
Batteries, spare/loose, including lithium metal or lithium ion cells or batteries, for portable electronic devices must be carried in carry-on baggage only. These batteries must be individually protected to prevent short circuits.	NO	NO	YES	NO

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3. Transport regulations for Dangerous Goods

Please refer to the listed regulations for further and detailed information:

ADR: European Agreement concerning the International Carriage of Dangerous Goods by Road,

49 CFR: Code of Federal Regulations, DOT, PHMSA is responsible for regulating movement of hazardous materials by all modes of transportation within the US.

IATA DGR: International Air Transport Association, Dangerous Goods Regulations,

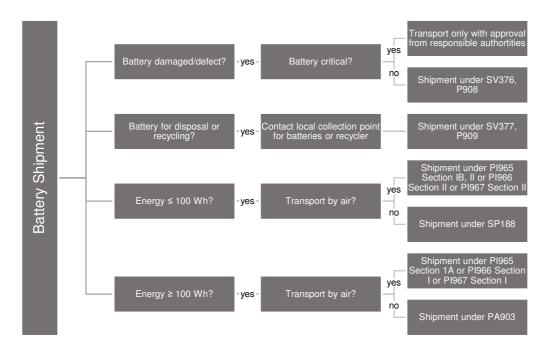
ICAO: International Civil Aviation Organization, Technical Instructions for the Safe Transport of Dangerous Goods by Air,

IMDG Code: International Maritime Dangerous Goods Code,

RID: International Statutory Order on the Conveyance of Dangerous Goods by Rail,

UN: United Nations Recommendations on the Transport of Dangerous Goods

4. Determine the applicable Packaging Instruction



5. UN Transportation Testing (UN DOT 38.3) for Lithium Batteries

Nearly all lithium batteries are required to pass section 38.3 of the UN Manual of Tests and Criteria (UN Transportation Testing) with the following procedure:

- T1 Altitude Simulation (Primary and Secondary Cells and Batteries)
- T2 Thermal Test (Primary and Secondary Cells and Batteries)
- T3 Vibration (Primary and Secondary Cells and Batteries)
- T4 Shock (Primary and Secondary Cells and Batteries)
- T5 External Short Circuit (Primary and Secondary Cells and Batteries)
- T6 Impact (Primary and Secondary Cells)
- T7 Overcharge (Secondary Batteries)
- T8 Forced Discharge (Primary and Secondary Cells)

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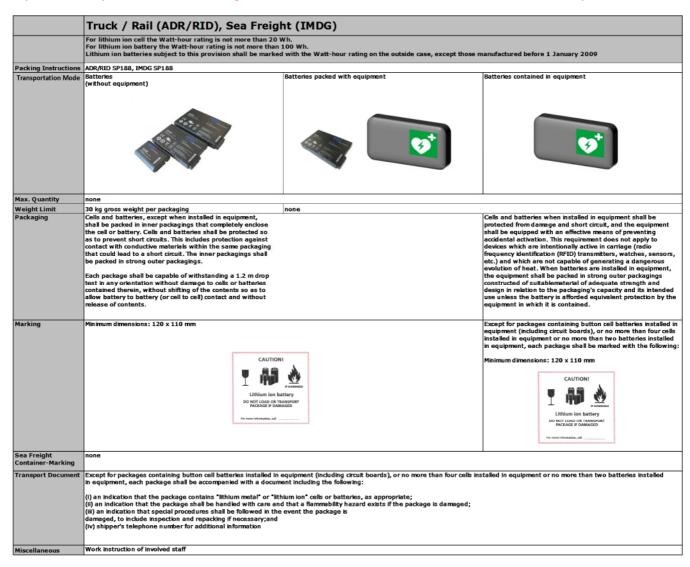
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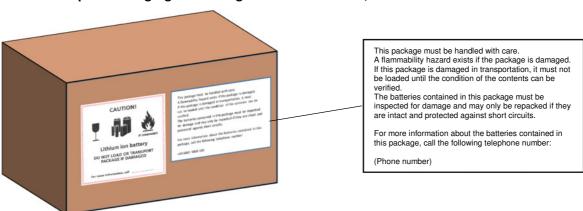
Shipping Guidelines

6.1. Shipment of Lithium Ion Batteries ≤ 100 Wh by Truck / Rail (ADR/RID), Sea Freight (IMDG)

A passed transportation test according section 38.3 of the UN Manual of Tests and Criteria is required!



6.1.1. Example: Packaging containing batteries ≤ 100 Wh, SP188



Max. content: 30 Kg G (G = gross weight) per packaging

ries

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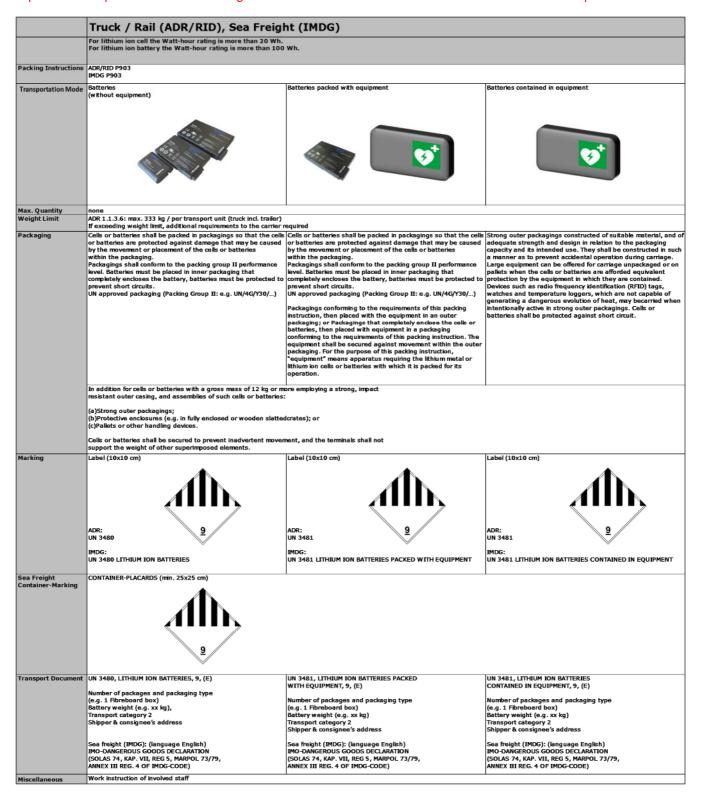
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6.2. Shipment of Lithium Ion Batteries > 100 Wh by Truck / Rail (ADR/RID), Sea Freight (IMDG)

A passed transportation test according section 38.3 of the UN Manual of Tests and Criteria is required!



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6.2.1. Example: Packaging containing batteries > 100 Wh, UN3480, P903



Max. content: as per UN packaging (e.g. Y30 = 30 Kg G)

6.2.2. Example: Packaging containing batteries > 100 Wh, UN3480, P903, overpack used



Max. content: 333 Kg G / shipment (Truck), if exceeding, additional requirements to the carrier will be needed

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6.3. Shipment of Lithium Ion Batteries ≤ 100 Wh by Air Freight (IATA)

A passed transportation test according section 38.3 of the UN Manual of Tests and Criteria is required!

For IATA **PI965** SEC IB and II only: Lithium ion cells and batteries must be offered for transport at a state of charge (SoC) not exceeding 30% of their rated design capacity!

8	Airfreight (IATA)				
	For lithium ion cell the Watt-hour rating is not mo For lithium ion battery the Watt-hour rating is not Lithium ion batteries subject to this provision sha	more than 100 Wh.	ting on the outside case, except those manu	factured before 1 January 2009	
Packing Instructions Transportation Mode	IATA PI965 Section IB Batteries (without equipment)	IATA PI965 Section II	IATA PI966 Section II Batteries packed with equipment	IATA P1967 Section II Batteries contained in equipment	
Max. Quantity	none (more than 8 cells or 2 batteries per packaging)	8 cells or 2 batteries per packaging	number required for equipment plus 2 spare	none	
Weight Limit PAX Weight Limit CAO	prohibited 10 kg net per packaging	prohibited 8 cells or 2 batteries per packaging	5 kg net battery weight per packaging		
Packaging	Batteries must be placed in inner packaging that	Batteries must be placed in inner	Batteries must be placed in inner packaging that		
	completely encloses the battery	packaging that completely encloses the battery	completely encloses the battery Batteries must be protected to prevent short	within the outer packaging and must be protected to prevent short circuits. Equipment containing batteries must be secured	
	Batteries must be protected to prevent short circuits	Batteries must be protected to prevent short circuits	circuits	and packed to prevent unintended operation during transport	
	Batteries must be secured against movement within the outer packaging	Batteries must be secured against movement within the outer	Batteries must be secured against movement within the outer packaging	Strong outer packaging (cardboard box)	
	1.2m drop test	packaging 1.2m drop test	1.2m drop test		
		Not more than one (1) package complying with the requirements of Section II may be placed in an overpack.			
Marking Transport Document	UN 3480, Lithium ion batteries, battery weight (e.g. met weight xx kg) Shipper-/Consignee's address CAUTION! Utblium ion battery ON NOT LOAD ON TRANSPORT FOR WITH AND ADDRESS CARGO AIRCRAFT ONLY CARGO AIRCRAFT ONLY CAUTION STATEMENT IN PRANSMAN AIRCRAFT ONLY CAUTION STATEMENT IN PRANSMAN AIRCRAFT CAUTION STATEMEN	CAUTION! Lithium ion battery DO NOT COAD OR THANSOOT HACAGE & MARKAGOT FO NOT AND COAD OR THAN OR	CAUTION! Lithium in battery Lithium in battery Lithium in battery Lithium L	Up to 2 batteries per packaging: no battery handling label required More than 2 batteries per packaging: battery handling label required CAUTION CAUTION	
	Transport according IATA-DGR, PI965 Section IB - package shall be handled carefully, in case of damage a risk of flammability exists. If the package is damaged, it must be quarantined, inspected and repacked. For more information, please call (phone number)* Shipper's Declaration for Dangerous Goods: UN 3480 Lithium ion batteries, 9, // Fibreboard box(es) x	(language English) 'Transport according IATA DGR, 'PI965 Section II - package shall be handled carefully, in case of damage a risk of flammability exists. If the package is damaged, it mu st be quarartined, inspected and repacked.	(language English) "Transport according IATA DGR, PI966 Section II - package shall be handled carefully, in case of damage a risk of flammability exists. If the package is damaged, it must be quarantined, inspected and repacked. For more information, please call (phone number)"	packaging: no caution statement required. More than 2 batteries per packaging: caution statement required "Transport according IATA DGR, PI967 Section II package shall be handled carefully, in case of damage a	
Information on Air Waybill	Dangerous Goods as per attached DGD - Cargo Aircraft only	"Lithium ion batteries in compliance with Section II of PI 965" and "Cargo Aircraft Only" or "CAO" must be included on the air waybill, when an air waybill is used. The information should be shown in the "Nature and Quantity of Goods" box of the air waybill.	"Lithium ion batteries in compliance with Section II of P1966" The information should be shown in the "Nature and Quantity of Goods" box of the air waybill.	only if more than 2 batteries per package: "Likhium ion batteries in compliance with Section II of PI967" The information should be shown in the "Nature and Quantity of Goods" box of the air waybill.	
Miscellaneous	Official IATA-Training by authorized trainer required If not available, please contact IATA authorized expert	Work instruction of involved staff Batteries < 2.7 Wh can be shipped at Max. weight per packaging 2.5 kg (ba	coording PI965 Section II in unlimited quantities. attery weight)		
	Special Provisions: A88, A99, A154, A164, A183, A20	Provisions: A88, A99, A154, A164, A183, A201			

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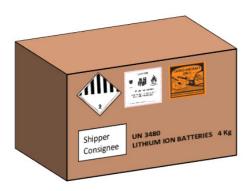


6.3.1. Example: Packaging containing batteries ≤ 100 Wh, PI 965, SEC II



Max. content: 2 batteries per packaging

6.3.2. Example: Packaging containing batteries ≤ 100 Wh, PI 965, SEC IB



Max. content: 10 Kg net per packaging

6.3.3. Example: Packaging containing batteries ≤ 100 Wh, PI 965, SEC IB, overpack used



Max. content: none per overpack (from 01. Jan. 2016 min. size of "OVERPACK" 12mm)

atteries

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6.4. Shipment of Lithium Ion Batteries > 100 Wh by Air Freight (IATA)

A passed transportation test according section 38.3 of the UN Manual of Tests and Criteria is required!

For IATA **PI965** SEC IA only: Lithium ion cells and batteries must be offered for transport at a state of charge (SoC) not exceeding 30% of their rated design capacity!

	Airfreight (IATA)			
	For lithium ion cell the Watt-hour rating is more than 20 Wh. For lithium ion battery the Watt-hour rating is more than 100 Wh.			
D - d	IATA PI965 Section IA	IATA P1966 Section I	IATA PI967 Section I IATA SP A48	
Packing Instructions Transportation Mode	Batteries	Batteries packed with equipment	Batteries contained in equipment	
transportation Mode	(wRhout equipment)			
Max. Quantity	none	number required for equipment plus 2 spare	none	
Weight Limit PAX	prohibited	5 kg net battery weight per packaging		
Weight Limit CAO	35 kg net battery weight per packaging			
Packaging	Batteries must be placed in inner packaging that completely encloses the battery, batteries must be protected to prevent short circuits UN approved packaging (Packing Group II: e.g. UN 4G/Y30/)	Batteries must be placed in inner packaging that completely enclose the battery, batteries must be protected so as to prevent short circuits UN approved packaging (Packing Group II: e.g. UN 4G/Y30/)	Equipment containing batteries must be secured and packed to prevent unintended operation during transport Batteries must be protected to prevent short circuits due to contact to further conductible materials within the same packaging Strong outer packaging (e.g. cardboard box) UN approved packaging not required	
Marking	UN 3480, Lithium ion batteries Net weight (NET QTY) Shipper-/Consignee's address CARGO AIRCRAFT ONLY FORBIDDEN IN PASSENGER AIRCRAFT 9	UN 3481, Lithium ion batteries packed with equipment Net weight (NET QTY) Shipper-/Consignee's address	UN 3481, Lithium on batteries contained in equipment Net weight (NET QTY) Shipper-/Consignee's address	
Transport Document	Shipper's Declaration for Dangerous Goods: UN 3480 Lithium ion batteries, 9 // 965	Shipper's Declaration for Dangerous Goods: UN 3481 Uthium ion batteries packed with equipment, 9 // 966	Shipper's Declaration for Dangerous Goods: UN 3481 Lithium ion batteries contained in equipment, 9 // 967	
Information on Air Waybill	Dangerous Goods as per attached DGD - Cargo Aircraft only			
Miscellaneous	Official IATA-Training by authorized trainer required. If not availa	ble, please contact IATA authorized expert		

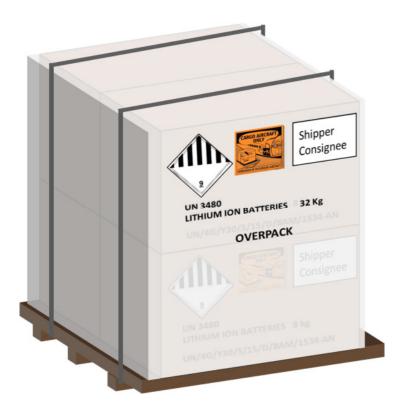


6.4.1. Example: Packaging containing batteries > 100 Wh, PI 965, SEC IA



Max. content: 35 Kg net per packaging (CAO)

6.4.2. Example: Packaging containing batteries > 100 Wh, PI 965, SEC IA, overpack used



Weight limit CAO (cargo aircraft only): 35 kg net battery weight per packaging, none for overpack



6.5. Shipment of Lithium Ion Battery Prototypes

Transportation Mode	Prototypes Truck/Rail/Sea Freight	Prototypes Airfreight
	Prototypes: Batteries not tested according UN Test 38.3 Only for transport of • small production series of max. 100 batteries (IATA: p.a.) • prototypes for testing reasons only	
Packing Instructions	ADR/RID/IMDG SP310	IATA A88: Approval from Aviation Authority of State of origin and State of operator (IATA DGR Chapter 1.2.5) required (Note: to/across/via USA additionally approval from US Authority (DOT) required)
Max. Quantity	n/a	as defined in approval
Weight Limit	n/a	as defined in approval
Packaging	UN approved packaging:(Packing Group I) Each battery shall be packed e.g. in a plastic bag Pad out box with Vermiculite ADR/RID/IMDG: see SP230 Must be secured against movement within the outer packaging	UN approved packaging: (Packing Group I) (Note: German Luftfahrtbundesamt LBA accept metal packaging and cargo aircraft shipments only) • Each battery has to be packed in a plastic bag • Pad out box with Vermiculite
Marking	ADR/RID: UN 3480 IMDG: UN 3480 LITHIUM ION BATTERIES (100 x 100 mm)	UN 3480 Lithium ion batteries Net weight (NET QTY) Shipper-/Consingee's address
Transport Document	Shipper & consignee's address: UN 3480 LITHIUM ION BATTERIES, 9, (E) Number of packages and packaging type (e.g. 1 Aluminum box) Battery weight (e.g. xx kg) Transport category 2 Special Provision SP310 IMDG: IMO-DANGEROUS GOODS DECLARATION (SOLAS 74, KAP. VII, REG 5, MARPOL 73/79, ANNEX III REG. 4 OF IMDG-CODE	Shipper's Declaration for Hazardous Goods: UN 3480 Lithium ion batteries, 9, PI 965 // A88 Copy of A88 Approval UN 3481, Lithium ion batteries packed with equipment, 9, E
Miscellaneous	Work instruction of involved staff	Official IATA-Training by authorized trainer required; if not available, please contact IATA authorized expert/forwarder.

6.5.1. Example: Packaging containing Lithium Ion Battery Prototypes



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6.6. Shipment of damaged or defective Lithium Ion Batteries

Transportation Mode	Damaged or Defective Batteries		
	Truck/Rail/Sea (not comply to UN Test 38.3 anymore)	Air Transport of Damaged or Defective Batteries	
Packing Instructions	SP376 P908	Batteries, that have been identified as defective for safety reasons by the manufacturer, or that have been damaged, that have the potential of producing a dangerous evolution of heat, fire or short circuit, are forbidden for transport (e.g. those being returned to the manufacturer for safety reasons) (IATA A154).	
Criteria for "Damaged or Defective"	"Non-critical" (no possible danger during transport) Batteries such that they do not conform to the tested type according to the applicable provision of the UN Manual of Tests and Criteria, 38.3 This includes Batteries identified as being defective for safety reasons Batteries that have leaked or vented Batteries that cannot be diagnosed prior to carriage, or Batteries that tave sustained physical or mechanical damage If there is no danger in transportation possible, then requirements for transport as stated below: "Critical" (possible danger during transport) Batteries that tend to break down quickly Batteries react dangerously, producing smoke and flames Batteries produce the dangerous heat Batteries releasing dangerous toxic, corrosive or flammable gases (Note: In order to assess the type of battery, its previous use and misuse shall be taken into account) Transport only with approval from Competent Authority in Germany: Federal Institute for Materials Research and Testing (BAM) (Detailed requirements as stated in approval)	n/a	
Max. Quantity	n/a	,	
Weight Limit Packaging Marking	• Each battery must be packed separately in close inner packaging (preventing leakage and short-circuit) • UN approved packaging required for all battery types (Packing Group II), e.g. fibreboard box • Must be secured against movement within the outer packaging • If packed hermetically, air venting contrivance required • Must be packed with non-combustible and non-conductive insulating material, material class A1 or A2 ("non-combustible", e.g. rockwool, glass wool, foamglas, Vermiculite) • Absorbing material to absorb leaking electrolyte	n/a	
rial Killy	UN 3480 DAMAGED / DEFECTIVE LITHIUM-ION BATTERIES	n/a	
Transport Document	Shipper & consignee's address UN 3480 LITHIUM ION BATTERIES, 9, (E) Number of packages and packaging type (e.g. 1 Aluminium box) Battery weight (e.g. xx kg) Transport category 2	n/a	
Miscellaneous	Work instruction of involved staff	n/a	

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6.7. Shipment of Lithium Ion Batteries for Disposal or Recycling

Transportation Mode	Batteries for Disposal & Recycling Truck/Rail/Sea (not comply to UN Test 38.3 anymore) Waste batteries and batteries being shipped for recycling or disposal are prohibited from air transport unless approved by the appropriate national authority of the State of Origin and the State of the Operator.		
	< 100 Wh (per battery)	> 100 Wh (per battery)	
Packing Instructions	SP377 P909		
Max. Quantity	none		
Weight Limit	30 kg per packaging	none	
Packaging	For batteries >1 00 Wh UN-approved packaging required (Packing Group II) < 100 Wh for batteries contained in equipment, UN-approved packaging is not required (strong outer packaging or collection boxes) Batteries shall be packed to prevent short circuits and dangerous evolution of heat This can beachieved by: • individual protection of the battery terminal • inner packaging to prevent contact between batteries • batteries with recessed terminals designed to protect against short-circuits or • the use of non-conductive and non-combustible cushioning material to fill empty space between the batteries in the packaging Batteries shall be secured within the outer packaging to prevent excessive movement during carriage (e.g. by using a non- conductive and noncombustible cushioning material or through the use of a tightly closed plastic bag)		
Marking	UN 3480 LITHIUM BATTERIES FOR DISPOSAL OF LITHIUM BATTERIES FOR RECYCLING 9		
Transport Document	Shipper & consignee's address UN 3480, WASTE LITHIUM ION BATTERIES, 9, (E) Number of packages and packaging type (e.g. 1 Fibreboard box (4G)) Battery weight (e.g. xx kg) Transport Category 2		
Miscellaneous	Work instruction of involved staff		

7. Useful Websites

The following websites provide various sources of useful information:

http://www.unece.org

http://www.iata.org

http://www.icao.int

http://www.imo.org

http://www.gpo.gov/

http://phmsa.dot.gov/hazmat

https://www.lithium-batterie-service.de/en/

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