

Documentation requirements for transport of lithium batteries (Packing Instruction 965 & 968 Section I B)

1. Air Waybill requirements

A Shipper's declaration is not required provided that the following information must be contained on the air waybill when used.

- 1) the name and address of the shipper and consignee;

Note : In case of "Consolidation", the actual (house) shipper and consignee must be included on an accompanied document.

- 2) Applicable UN Number (UN3480 or UN3090);
- 3) "Lithium ion batteries, PI965, IB" or "Lithium metal batteries, PI968, IB";
- 4) the number of packages and the gross weight of each package.

※ 2), 3) and 4) must also be shown in the "Nature and Quantity of Goods" box of the Air Waybill.

2. Additional document requirements

An additional document is required indicating that:

- 1) the package contains lithium ion (or metal) cells or batteries;
- 2) the package must be handled with care and that a flammability hazard exists if the package is damaged;
- 3) special procedures must be followed in the event the package is damaged, to include inspection and repacking if necessary; and
- 4) a telephone number for additional information.

3. Overpack Information

Section I B Batteries can be overpacked. In that case, the overpack information must be included on a document as required in 8.1.6.9.2 Step7.

4. A recommended form

- 1) Our recommended template of the additional document to include all required items above is attached below with some examples.

Note : The use of our recommended form is not mandatory. Any other alternate form including Shipper's Declaration for Dangerous Goods (DGD) also can be acceptable if it bears all the required information.

- 2) We beg your understanding that we are not in a position to take any responsibility for the accuracy of the above contents. Please refer the current IATA Dangerous Goods regulations and the IATA Lithium battery guidance Document for more details.

Recommended Form for Accompanying Lithium battery Document



Air Waybill number Master : _____ House: _____
 (for consolidation only)

WARNING: LITHIUM BATTERIES THAT HAVE BEEN RECALLED BY THE MANUFACTURER FOR SAFETY REASONS **MUST NOT** BE SHIPPED BY AIR.

This package contains lithium cells or batteries in the following configuration (check applicable):

<p>Lithium Ion - <i>Maximum of</i></p> <ul style="list-style-type: none"> • 20 Watt-hours per cell; and • 100 Watt-hours per battery 	<p>Lithium Metal – <i>Maximum of</i></p> <ul style="list-style-type: none"> • 1 gram of lithium metal per cell; and • 2 grams of lithium per battery
<p><input type="checkbox"/> Cells or batteries <u>only</u> (ICAO/IATA Packing Instruction 965, Section II) – Cells or batteries in a package, without electronic equipment Package Limit: ≤2.7Wh = 2.5kg; <u>or</u> >2.7Wh but ≤ 20Wh = 8 cells; <u>or</u> >2.7Wh but ≤ 100Wh = 2 batteries</p>	<p><input type="checkbox"/> Cells or batteries <u>only</u> (ICAO/IATA Packing Instruction 968, Section II) – Cells or batteries in a package, without electronic equipment Package Limit: ≤0.3g = 2.5kg; <u>or</u> >0.3g but ≤ 1g = 8 cells; <u>or</u> >0.3g but ≤ 2g = 2 batteries</p>
<p><input type="checkbox"/> Cells or batteries <u>only</u> (ICAO/IATA Packing Instruction 965, Section IB) – Cells or batteries in a package, without electronic equipment UN3480, _____ package(s) x _____ kg G each</p>	<p><input type="checkbox"/> Cells or batteries <u>only</u> (ICAO/IATA Packing Instruction 968, Section IB) – Cells or batteries in a package, without electronic equipment UN3090, _____ package(s) x _____ kg G each</p>
<p><input type="checkbox"/> Packed <u>with equipment</u> (ICAO/IATA Packing Instruction 966, Section II) – Cells or batteries packed in a package with equipment</p>	<p><input type="checkbox"/> Packed <u>with equipment</u> (ICAO/IATA Packing Instruction 969, Section II) – Cells or batteries packed in a package with equipment</p>
<p><input type="checkbox"/> Contained <u>in equipment</u> (ICAO/IATA Packing Instruction 967, Section II) – Cells or batteries contained in equipment</p>	<p><input type="checkbox"/> Contained <u>in equipment</u> (ICAO/IATA Packing Instruction 970, Section II) – Cells or batteries contained in equipment</p>

- This package must be handled with care. A flammability hazard exists if the package is damaged.
- If this package is damaged in transportation, it must not be loaded until the condition of the contents can be verified. The batteries contained in this package must be inspected for damage and may only be repacked if they are intact and protected against short circuits.
- For more information about the batteries contained in this package, call the following telephone number:

_____ **List telephone number here, including area code and any applicable country code**

For Section IB use only (PI 965 and PI 968)

<p><u>Name/Address of shipper:</u></p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p><u>Name/Address of consignee</u></p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>
<p><i>NOTE: Regarding Section IB of PI965 and PI968, the same name and address of shipper and consignee as above shall be marked on the packages.</i></p>	
<p><i>When overpack(s) are used, overpack information required in DGR 8.1.6.9.2 Step 7 must be indicated below.</i></p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>	

Name/Title of Signatory: _____ Date: _____

Signature: _____

Recommended Form for Accompanying Lithium battery Document



- EXAMPLE 1

Air Waybill number Master : 205-1234 5670 House: N/A
 (for consolidation only)

WARNING: LITHIUM BATTERIES THAT HAVE BEEN RECALLED BY THE MANUFACTURER FOR SAFETY REASONS **MUST NOT** BE SHIPPED BY AIR.

This package contains lithium cells or batteries in the following configuration (check applicable):

Lithium Ion - Maximum of <ul style="list-style-type: none"> • 20 Watt-hours per cell; and • 100 Watt-hours per battery 	Lithium Metal – Maximum of <ul style="list-style-type: none"> • 1 gram of lithium metal per cell; and • 2 grams of lithium per battery
<input type="checkbox"/> Cells or batteries only (ICAO/IATA Packing Instruction 965, Section II) – Cells or batteries in a package, without electronic equipment Package Limit: ≤2.7Wh = 2.5kg; <u>or</u> >2.7Wh but ≤ 20Wh = 8 cells; <u>or</u> >2.7Wh but ≤ 100Wh = 2 batteries	<input type="checkbox"/> Cells or batteries only (ICAO/IATA Packing Instruction 968, Section II) – Cells or batteries in a package, without electronic equipment Package Limit: ≤0.3g = 2.5kg; <u>or</u> >0.3g but ≤ 1g = 8 cells; <u>or</u> >0.3g but ≤ 2g = 2 batteries
<input checked="" type="checkbox"/> Cells or batteries only (ICAO/IATA Packing Instruction 965, Section IB) – Cells or batteries in a package, without electronic equipment UN3480, <u>30</u> package(s) x <u>5</u> kg G each	<input checked="" type="checkbox"/> Cells or batteries only (ICAO/IATA Packing Instruction 968, Section IB) – Cells or batteries in a package, without electronic equipment UN3090, <u>30</u> package(s) x <u>2</u> kg G each
<input type="checkbox"/> Packed with equipment (ICAO/IATA Packing Instruction 966, Section II) – Cells or batteries packed in a package with equipment	<input type="checkbox"/> Packed with equipment (ICAO/IATA Packing Instruction 969, Section II) – Cells or batteries packed in a package with equipment
<input type="checkbox"/> Contained in equipment (ICAO/IATA Packing Instruction 967, Section II) – Cells or batteries contained in equipment	<input type="checkbox"/> Contained in equipment (ICAO/IATA Packing Instruction 970, Section II) – Cells or batteries contained in equipment

- This package must be handled with care. A flammability hazard exists if the package is damaged.
- If this package is damaged in transportation, it must not be loaded until the condition of the contents can be verified. The batteries contained in this package must be inspected for damage and may only be repacked if they are intact and protected against short circuits.
- For more information about the batteries contained in this package, call the following telephone number:

81-3-5757-XXXX

List telephone number here, including area code and any applicable country code

For Section IB use only (PI 965 and PI 968)

Name/Address of shipper: <u>XYZ Energy Device Co., LTD.</u> <u>1-1-1 Narita Airport,</u> <u>Narita-shi, Chiba 282-0000</u> <u>Japan</u>	Name/Address of consignee <u>ABC Electronics USA INC.</u> <u>1000 ABC Street San Francisco</u> <u>11111 CA, USA</u>
NOTE: Regarding Section IB of PI965 and PI968, the same name and address of shipper and consignee as above shall be marked on the packages.	
When overpack(s) are used, overpack information required in DGR 8.1.6.9.2 Step 7 must be indicated below. <u>N/A</u> _____ _____ _____	

Name/Title of Signatory: Taro Sorano, shipping Manager Date: 01JAN, 2013

Signature: Signature

Note : In addition to this document, items 2, 3 and 4 required in Section IB, (b) of PI 965 & PI968 must also be included in the "Nature and Quantity of Goods" box of Air Waybill.

Recommended Form for Accompanying Lithium battery Document



- EXAMPLE 2

Air Waybill number Master : 205-1234 5670 House: XYZ-1234 5678
 (for consolidation only)

WARNING: LITHIUM BATTERIES THAT HAVE BEEN RECALLED BY THE MANUFACTURER FOR SAFETY REASONS **MUST NOT** BE SHIPPED BY AIR.

This package contains lithium cells or batteries in the following configuration (check applicable):

Lithium Ion - Maximum of <ul style="list-style-type: none"> • 20 Watt-hours per cell; and • 100 Watt-hours per battery 	Lithium Metal – Maximum of <ul style="list-style-type: none"> • 1 gram of lithium metal per cell; and • 2 grams of lithium per battery
<input type="checkbox"/> Cells or batteries only (ICAO/IATA Packing Instruction 965, Section II) – Cells or batteries in a package, without electronic equipment Package Limit: ≤2.7Wh = 2.5kg; <u>or</u> >2.7Wh but ≤ 20Wh = 8 cells; <u>or</u> >2.7Wh but ≤ 100Wh = 2 batteries	<input type="checkbox"/> Cells or batteries only (ICAO/IATA Packing Instruction 968, Section II) – Cells or batteries in a package, without electronic equipment Package Limit: ≤0.3g = 2.5kg; <u>or</u> >0.3g but ≤ 1g = 8 cells; <u>or</u> >0.3g but ≤ 2g = 2 batteries
<input checked="" type="checkbox"/> Cells or batteries only (ICAO/IATA Packing Instruction 965, Section IB) – Cells or batteries in a package, without electronic equipment UN3480, <u>5</u> package(s) x <u>5</u> kg G each	<input checked="" type="checkbox"/> Cells or batteries only (ICAO/IATA Packing Instruction 968, Section IB) – Cells or batteries in a package, without electronic equipment UN3090, _____ package(s) x _____ kg G each
<input type="checkbox"/> Packed with equipment (ICAO/IATA Packing Instruction 966, Section II) – Cells or batteries packed in a package with equipment	<input type="checkbox"/> Packed with equipment (ICAO/IATA Packing Instruction 969, Section II) – Cells or batteries packed in a package with equipment
<input type="checkbox"/> Contained in equipment (ICAO/IATA Packing Instruction 967, Section II) – Cells or batteries contained in equipment	<input type="checkbox"/> Contained in equipment (ICAO/IATA Packing Instruction 970, Section II) – Cells or batteries contained in equipment

- This package must be handled with care. A flammability hazard exists if the package is damaged.
- If this package is damaged in transportation, it must not be loaded until the condition of the contents can be verified. The batteries contained in this package must be inspected for damage and may only be repacked if they are intact and protected against short circuits.
- For more information about the batteries contained in this package, call the following telephone number:

81-3-5757-XXXX

List telephone number here, including area code and any applicable country code

For Section IB use only (PI 965 and PI 968)

Name/Address of shipper: <u>XYZ Energy Device Co., LTD.</u> <u>1-1-1 Narita Airport,</u> <u>Narita-shi, Chiba 282-0000</u> <u>Japan</u>	Name/Address of consignee <u>ABC Electronics USA INC.</u> <u>1000 ABC Street San Francisco</u> <u>11111 CA, USA</u>
NOTE: Regarding Section IB of PI965 and PI968, the same name and address of shipper and consignee as above shall be marked on the packages.	
When overpack(s) are used, overpack information required in DGR 8.1.6.9.2 Step 7 must be indicated below. <p align="center"><u>5 (packages) x 5kgG, Overpack used</u></p>	

Name/Title of Signatory: Taro Sorano, shipping Manager Date: 01JAN, 2013

Signature: Signature

Note : In addition to this document, items 2, 3 and 4 required in Section IB, (b) of PI 965 & PI968 must also be included in the "Nature and Quantity of Goods" box of Air Waybill.

Recommended Form for Accompanying Lithium battery Document



- EXAMPLE 3

Air Waybill number Master : 205-1234 5670 House: XYZ-1234 5678
 (for consolidation only)

WARNING: LITHIUM BATTERIES THAT HAVE BEEN RECALLED BY THE MANUFACTURER FOR SAFETY REASONS **MUST NOT** BE SHIPPED BY AIR.

This package contains lithium cells or batteries in the following configuration (check applicable):

Lithium Ion - Maximum of • 20 Watt-hours per cell; and • 100 Watt-hours per battery	Lithium Metal – Maximum of • 1 gram of lithium metal per cell; and • 2 grams of lithium per battery
<input type="checkbox"/> Cells or batteries only (ICAO/IATA Packing Instruction 965, Section II) – Cells or batteries in a package, without electronic equipment Package Limit: ≤2.7Wh = 2.5kg; <u>or</u> >2.7Wh but ≤ 20Wh = 8 cells; <u>or</u> >2.7Wh but ≤ 100Wh = 2 batteries	<input type="checkbox"/> Cells or batteries only (ICAO/IATA Packing Instruction 968, Section II) – Cells or batteries in a package, without electronic equipment Package Limit: ≤0.3g = 2.5kg; <u>or</u> >0.3g but ≤ 1g = 8 cells; <u>or</u> >0.3g but ≤ 2g = 2 batteries
<input checked="" type="checkbox"/> Cells or batteries only (ICAO/IATA Packing Instruction 965, Section IB) – Cells or batteries in a package, without electronic equipment UN3480, <u>50</u> package(s) x <u>5</u> kg G each	<input checked="" type="checkbox"/> Cells or batteries only (ICAO/IATA Packing Instruction 968, Section IB) – Cells or batteries in a package, without electronic equipment UN3090, <u>50</u> package(s) x <u>2</u> kg G each
<input type="checkbox"/> Packed with equipment (ICAO/IATA Packing Instruction 966, Section II) – Cells or batteries packed in a package with equipment	<input type="checkbox"/> Packed with equipment (ICAO/IATA Packing Instruction 969, Section II) – Cells or batteries packed in a package with equipment
<input type="checkbox"/> Contained in equipment (ICAO/IATA Packing Instruction 967, Section II) – Cells or batteries contained in equipment	<input type="checkbox"/> Contained in equipment (ICAO/IATA Packing Instruction 970, Section II) – Cells or batteries contained in equipment

- This package must be handled with care. A flammability hazard exists if the package is damaged.
- If this package is damaged in transportation, it must not be loaded until the condition of the contents can be verified. The batteries contained in this package must be inspected for damage and may only be repacked if they are intact and protected against short circuits.
- For more information about the batteries contained in this package, call the following telephone number:

81-3-5757-XXXX

List telephone number here, including area code and any applicable country code

For Section IB use only (PI 965 and PI 968)

Name/Address of shipper: <u>XYZ Energy Device Co., LTD.</u> <u>1-1-1 Narita Airport,</u> <u>Narita-shi, Chiba 282-0000</u> <u>Japan</u>	Name/Address of consignee <u>ABC Electronics USA INC.</u> <u>1000 ABC Street San Francisco</u> <u>11111 CA, USA</u>
NOTE: Regarding Section IB of PI965 and PI968, the same name and address of shipper and consignee as above shall be marked on the packages.	
When overpack(s) are used, overpack information required in DGR 8.1.6.9.2 Step 7 must be indicated below. <u>50 x 5kgG (UN3480) and 50 x 2kgG (UN3090), overpack used x 3, #001,</u> <u>#002, #003, total quantity per overpack UN3480=250kgG UN3090=100kgG</u>	

Name/Title of Signatory: Taro Sorano, shipping Manager Date: 01JAN, 2013

Signature: Signature

Note : In addition to this document, items 2, 3 and 4 required in Section IB, (b) of PI 965 & PI968 must also be included in the "Nature and Quantity of Goods" box of Air Waybill.