SETTING STANDARDS IN POWER SOLUTIONS

Dok-Typ: Information Dok-Nr.: IM_L_005 Rev.: F

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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 safe carriage of dangerous goods is important to shippers and transport companies and not least for every party involved in the chain of lithium ion battery transport.

The following notes, based on recommendations, have been produced to provide initial practical guidance to the regulations for the carriage of lithium ion batteries and lithium ion batteries in/with equipment.

In any case it is necessary to consult the regulations themselves for details. The applicable regulations are listed below.

They must be fulfilled by the shipper for every commercial shipment of lithium ion batteries.

Especially the energy content and diverse conditions classify which dangerous goods regulations must be taken into account for the transport of lithium ion batteries. Due to exemption regulations, simplified requirements apply for instance to lithium ion batteries with a nominal energy up to maximum 100 Wh.

Whereas lithium ion batteries with a nominal energy of more than 100 Wh are always to be treated as fully regulated Class 9 Dangerous Goods.

This guidance refers to the commercial transport by:

road/rail: ADR/RIDsea freight: IMDG Codeair freight: IATA DGR.

The regulations are subject to change on an annual or biennial basis.

Lithium ion batteries are classified as follows:

- UN 3480 Lithium ion batteries
- UN 3481 Lithium ion batteries contained in equipment
- UN 3481 Lithium ion batteries packed with equipment

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, at their discretion, make decisions differing from this guideline.

Despite the greatest possible care during the revision and composition, 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.

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IATA Table 2.3.A Provisions for Dangerous Goods Carried by Passengers or Crew (Subsection 2.3):

Permit	ted in or as	s carry-on	baggage	
Permitted in or as	Permitted in or as checked baggage			
The approval of the operator is	required			
nsulated packagings containing refrigerated liquid nitrogen (dry shipper), fully absorbed in a porous naterial containing only non-dangerous goods.	NO	YES	YES	NO
nternal combustion or fuel cell engines, must meet A70 (see 2.3.5.12 for details).	NO	YES	NO	NO
Lithium Batteries: Portable electronic devices (PED) containing lithium metal or lithium ion cells or patteries, including medical devices such as portable oxygen concentrators (POC) and consumer electronics such as cameras, mobile phones, laptops and tablets (see 2.3.5.8). For lithium metal batteries he lithium metal content must not exceed 2 g and for lithium ion batteries the Watt-hour rating must not exceed 100 Wh. Devices in checked baggage must be completely switched off and must be protected from lamage. Each person is limited to a maximum of 15 PED. The operator may approve the carriage of more than 15 PED.	NO*	YES	YES	NO
Ithium batteries, spare/loose, including power banks, see Batteries, spare/loose				
Ithium battery-powered electronic devices. Lithium ion batteries for portable (including medical) YES YES electronic devices, a Wh rating exceeding 100 Wh but not exceeding 160 Wh. For portable medical lectronic devices only, lithium metal batteries with a lithium metal content exceeding 2 g but not exceeding g. Devices in checked baggage must be completely switched off and must be protected from damage.				NO
Lithium batteries, spare/loose with a Watt-hour rating exceeding 100 Wh but not exceeding 160 Wh for consumer electronic devices and PMED or with a lithium metal content exceeding 2 g but not exceeding 8 g or PMED only. Maximum of two spare batteries in carry-on baggage only. These batteries must be individually protected to prevent short circuits.	YES	NO	YES	NO

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. 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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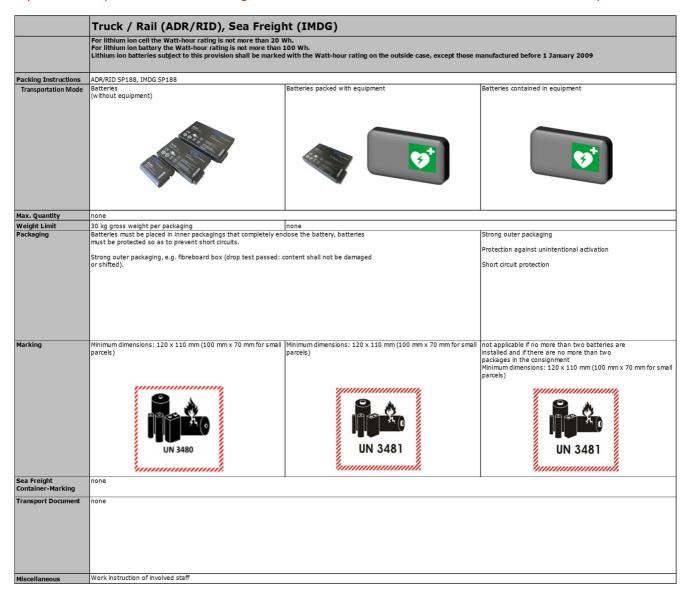
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5. Shipping Guidelines

5.1. 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!



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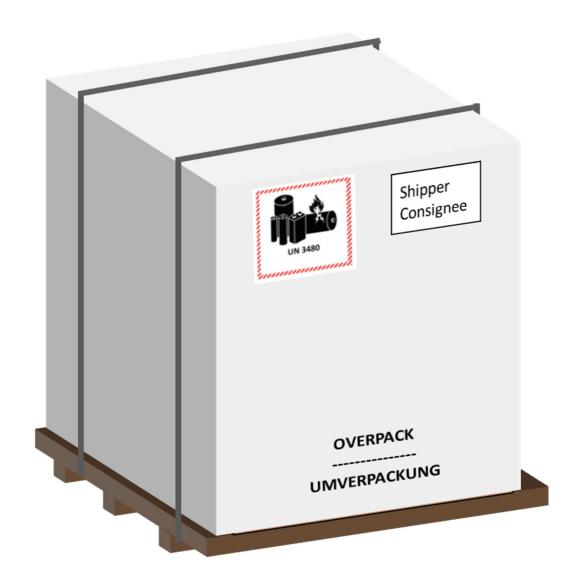


5.1.1. Example: Packaging containing batteries ≤ 100 Wh, SP188



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

5.1.2. Example: Packaging containing batteries ≤ 100 Wh, SP188, overpack used



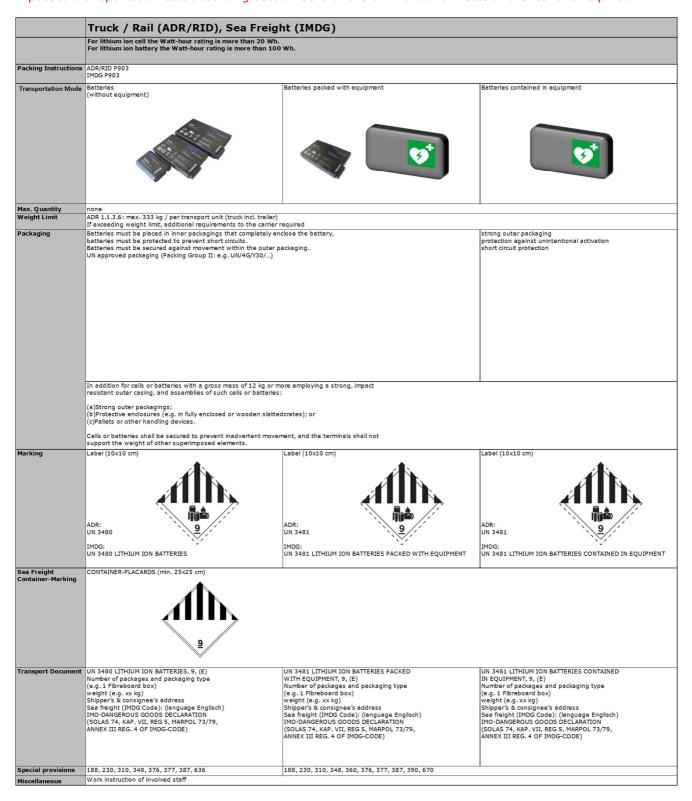
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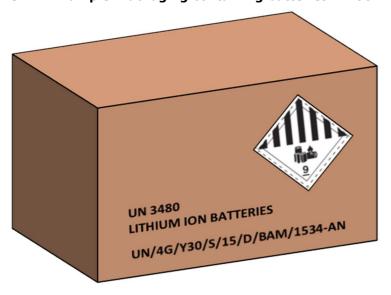
5.2. Shipment of Lithium Ion Batteries > 100 Wh by Truck / Rail (ADR/RID), Sea Freight (IMDG)

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





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



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

5.2.2. 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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5.3. 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 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!

Lithium ion batteries subject	Airfreight (IATA) For lithium ion cell the Watt-hour rating is not more than 20 Wh.				
Max. Quantity none (more than 8 cells or 2 Weight Limit PAX Weight Limit CAO Packaging Strong outer packaging (fibr Batteries must be placed in Batteries must be protected 1.2m drop test UN 3480, Lithium ion batter battery weight (e.g net weight (e	For lithium ion battery the Watt-hour rating is not more than 100 Wh. Lithium ion batteries subject to this provision shall be marked with the Watt-hour rating on the outside case, exce		ot those manufactured before 1 January		
Tax. Quantity In one (more than 8 cells or 3 prohibited Veight Limit PAX Veight Limit CAO In ore packaging Strong outer packaging (fibromation on the compact of the c		IATA PI966 Section II	IATA PI967 Section II		
Weight Limit PAX Veight Limit CAO 10 kg net per package Strong outer packaging (fibres and packaging) Strong outer packaging (fibres and packaging) Batteries must be placed in Batteries must be secured a Batteries must be protected 1.2m drop test UN 3480, Lithium ion batteries battery weight (e.g net weight (e.g net weight (e.g net weight)) Shipper's Declaration for Da UN 3480, Lithium ion batteries battery weight (e.g net weight) VAN 3480, Lithium ion batteries battery weight (e.g net weight) Shipper's Declaration for Da UN 3480, Lithium ion batteries box(es) x kg // 965 // IB, s Delete the "PASSENGER ANI		Batteries packed with equipment	Batteries contained in equipment		
prohibited		3			
Strong outer packaging (fibre Batteries must be placed in Batteries must be protected 1.2m drop test Transport Document Shipper's Declaration for Da UN 3480, Lithium in batteries must be protected battery weight (e.g. net wei	batteries per packaging)	As required for operation, plus 2 sets for replacement	none		
Strong outer packaging (fibre Batteries must be placed in Batteries must be secured a Batteries must be protected 1.2m drop test UN 3480, Lithium ion batter battery weight (e.g. net weight part battery weight (e.g. net weight)		5 les set hetter weight and selection			
Strong outer packaging (fibric Batteries must be placed in Batteries must be secured a Batteries must be protected 1.2m drop test UN 3480, Lithium ion batteries must be protected 1.2m drop test UN 3480, Lithium ion batteries battery weight (e.g net wei		5 kg net battery weight per packaging			
battery weight (e.g net weight (e.g net weight) with the state of the	eboard box), stacking test 3 m in PI 965, Section nner packaging that completely encloses the batte gainst movement within the outer packaging; to prevent short circuits		Strong outer packaging or equivalent protection of the battery by the devic Protection against unintended putting into service. Protection against movements within the packaging; Protection against short circuit		
Shipper's Declaration for Da UN 3480 Lithium ion batteri box(es) x kg // 965 // IB, s Delete the "PASSENGER ANI In the "Handling Information	ht xx kg)	UN 3481	Up to 2 batteries per package: no battery handling label required More than 2 batteries per package: battery handling label required		
	es, 9, // Fibreboard ee Example 1,	N/A	N/A		
	"box: ssociated Shipper's Declaration - CAO"	In the "Nature and Quantity of Goods" box "Uthium ion batteries in compliance with section II of PI 966"	: Only if more than 2 batteries per package, in the "Nature and Quantity of Goods" box: "Lithium ion batteries in compliance with section II of PI 967"		
Official IATA-Training by auth If not available, please conte		Adequate instruction commensurate with re	esponsibilities		

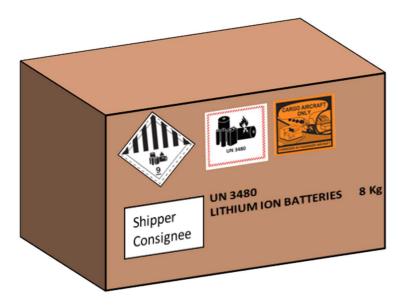
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5.3.1. Example: Packaging containing batteries ≤ 100 Wh, PI 965, SEC IB



Max. content: 10 Kg net per packaging

5.3.2. 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)

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5.4. 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!

	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	n.			
Packing Instructions		IATA PI966 Section I	IATA PI967 Section I IATA SP A48		
Transportation Mode	Batteries (without equipment)	Batteries packed with equipment	Batteries contained in equipment		
	Co. T.		5		
Max. Quantity	none	number required for equipment	none		
Weight Limit PAX	prohibited	plus 2 spare 5 kg net battery weight per packaging	<u> </u>		
	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 (SP A48)		
	UN 3480, Lithium ion batteries Net weight (NET QTY) Shipper-/Consignee's address CARGO AIRCRAFT ONLY PORNICORN IN PASSENGER AIRCRAFT	UN 3481, Lithium ion batteries packed with equipment Net weight (NET QTY) Shipper-/Consignee's address	UN 3481, Lithium ion batteries contained in equipment Net weight (NET QTY) Shipper-/Consignee's address		
	Shipper's Declaration for Dangerous Goods: UN 3480 Lithium ion batteries, 9 // 965, delete the "PASSENGER AND CARGO AIRCRAFT" box	Shipper's Declaration for Dangerous Goods: UN 3481 Lithium 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 In the "Handling Information" box: Dangerous Goods as per associated Shipper's Declaration - CAO" When a shipment contains both dangerous goods and non-dangerous goods, the number of packages containing dangerous goods shall be added in the "Handling Information" box		ods shall be added			
Miscellaneous	Official IATA-Training by authorized trainer required. If not available, please contact IATA authorized expert				
	Special Provisions: A48, A88, A99, A154, A164, A181, A183, A185, A201, A213, A220, A331, A334, A802				

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



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

5.4.2. 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

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5.5. 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 Code: SP 310, P910	IATA SP A88, P910: Approval required from the Competent Authority of the state of origin Note: to/across/via USA additional approval required from US Authority (DOT)
Max. Quantity	n/a	as defined in approval
Weight Limit	n/a	as defined in approval
Packaging	UN approved packaging: e.g. fibreboard box (Packing Group II: e.g. UN 4G/Y30/) • Each battery shall be individually packed in an inner packaging, e.g. in a plastic bag • Non-combustible, non-conductive thermal insulation material, e.g. Vermiculite • Must be secured against movement within the outer packaging	as defined in approval
Marking	ADR/RID: UN 3480 IMDG: UN 3480 LITHIUM ION BATTERIES (100 x 100 mm)	as defined in approval
Transport Document	Shipper's & consignee's address UN 3480 LITHIUM ION BATTERIES, 9, (E) Number of packages and packaging type (e.g. 1 fibreboard box) Battery weight (e.g. xx kg) "CARRIAGE IN ACCORDANCE WITH SPECIAL PROVISION 310" IMDG Code: IMO-DANGEROUS GOODS DECLARATION (SOLAS 74, KAP. VII, REG 5, MARPOL 73/79, ANNEX III REG. 4 OF IMDG-CODE	
Miscellaneous	Work instruction of involved staff	as defined in approval

5.5.1. Example: Packaging containing Lithium Ion Battery Prototypes



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5.6. Shipment of damaged or defective Lithium Ion Batteries

	Damaged or Defective Batteries		
Transportation Mode	Truck/Rail/Sea (not comply to UN Test 38.3 anymore) Mode Air Transport of damaged or defective batteries Damaged or defective cell or batteries, whether they have been identified as "non-critical" or as "critical", are forbide for air transport (IATA DGR Special Provision A154).		
Packing Instructions	SP376 P908	SP 376, P911	
Criteria for "Damaged or Defective"	"Non-critical"7) (no possible danger during transport) Such Batteries do not conform to the tested type according to the applicable provisions 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 have sustained physical or mechanical damage In assessing a cell or battery as damaged or defective, an assessment or evaluation shall be performed based on safety criteria from the cell, battery or product manufacturer or by a technical expert with knowledge of the cell's or battery's safety features. An assessment or evaluation may include, but is not limited to, the criteria mentioned in SP 376.	"Critical"7) (possible danger during transport) Batteries liable to rapidly disassemble, dangerously react, produce a flame or a dangerous evolution of heat or a dangerous emission of toxic, corrosive or flammable gases or vapours	
Max. Quantity	n/a		
Weight Limit	n/a - A battery with a net mass of more than 30 kg shall be		
Packaging	Each damaged or defective battery or equipment containing such batteries must be packed separately in leak proof inner packaging to prevent release of electrolyte UN approved packaging required for all battery types (Packing Group II), e.g. fibreboard box Must be secured against movement within the package Sealed packagings shall be fitted with a venting device Must be packed with non-combustible and non-conductive thermal insulation material, material class A1 or A2 (non-combustible, e.g. rockwool, glass wool, foamglass, Vermiculite) Absorbing material to absorb leaking electrolyte from leaking batteries Batteries shall be protected against short circuit "Critical batteries": as per approval	The packaging shall be capable of meeting certain performance requirements in case of rapid disassembly, dangerous reaction, production of a flame or a dangerous evolution of heat or a dangerous emission of toxic, corrosive or flammable gases or vapours of the cells or batteries, as specified in P911. The additional packaging performance requirements shall be verified by a test as specified by the competent authority A verification report shall be available on request as specified in P911. Cells or batteries shall be protected against short circuit. Alternative packing and/or carriage conditions may be authorized by the competent authority (in Germany: Federal Institute for Materials Research and Testing, BAM); detailed requirements as stated in the authorization.	
Marking	UN 3480 DAMAGED / DEFECTIVE LITHIUM ION BATTERIES UN 3481 DAMAGED / DEFECTIVE LITHIUM ION BATTERIES CONTAINED IN EQUIPMENT	UN 3480 DAMAGED / DEFECTIVE LITHIUM ION BATTERIES UN 3481 DAMAGED / DEFECTIVE LITHIUM ION BATTERIES CONTAINED IN EQUIPMENT	
Transport Document	Shipper's & 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 in accordance with special provision 376"	Shipper's & 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 in accordance with special provision 376" "Transport in accordance with special provision 376"	
	If applicable, a copy of the competent authority approval shall accompany the carriage.	If applicable, a copy of the competent authority approval shall accompany the carriage.	

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5.7. Shipment of Lithium Ion Batteries for Disposal or Recycling

	Batteries for Disposal & Recycling			
Transportation Mode	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 (IATA DGR SP A183).			
	< 100 Wh (per battery)	> 100 Wh (per battery)		
Packing Instructions	SP377 P909			
Max. Quantity	none			
Weight Limit	30 kg per packaging	none		
Packaging	packagings constructed of suitable material, and of adequate strintended use. Batteries shall be packed to prevent short circuits and dangerou dangerous evolution of heat. This can be achieved by: • individual protection of the battery terminal • inner packaging to prevent contact between batteries • batteries with recessed terminals designed to protect against the use of non-conductive and non-combustible cushioning material or through the conductive and noncombustible cushioning material or through the	100 Wh and for batteries contained in equipment, UN-approved packaging is not required. Strong outer istructed of suitable material, and of adequate strength and design in relation to the packaging capacity and its be packed to prevent short circuits and dangerous evolution of heat Protection against short-circuits and lution of heat. Ideved by: tection of the battery terminal		
Marking	UN 3480 LITHIUM BATTERIES FOR DISPOSAL OF LITHIUM BATTERIES FOR RECYCLING			
Shipper's & 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) Work Instruction of involved staff Damaged / defective batteries Batteries identified as being damaged or defective shall be carried in accordance with S Batteries for Disposal & Recycling Alternatively, lithium batteries for disposal and recycling can also be carried (like unused SP 188, as appropriate, or – up to the intermediate processing facility – under ADR SP 6 More exemptions for lithium cells and batteries installed in equipment from private house.		(4G))		
		be carried (like unused lithium batteries) under ADR SP 230 and acility – under ADR SP 636).		

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6. 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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