

Documentation Requirements

1. Additional Document

In the “Additional Requirements-Section IB” of Packing Instruction 965 & 968 and “Additional Requirements-Section II” of Packing Instructions 965 to 970, an additional document is required indicating;

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

Note: For Section II of PI 967 & PI 970, the additional document is required for a shipment with package(s) containing more than 4 cells or 2 batteries installed in equipment.

2. Section IB Batteries (Packing Instructions 965 & 968 only)

A shipper's Declaration is not required and UN specification packaging is not required but Section IB batteries are classified as Class 9 Dangerous Goods and subject to all other requirements in the DGR including marking and labeling.

1) Air Waybill requirements.

For Section IB Batteries, a “Shipper's Declaration” is not required but in Section IB of Packing Instructions 965 & 968, the items below must be contained on the air waybill;

- ① the name and address of the shipper and consignee;
- ② UN 3480 or UN3090;
- ③ Lithium ion batteries, PI 965, IB or Lithium metal Batteries, PI 968, IB;
- ④ the number of packages and the gross weight of each package.

And 2 3 and 4 must be shown in the “Nature and Quantity of Goods” box of the Air Waybill.

And the name and address of the shipper and consignee must be marked on the package(s) same as other dangerous goods.

NCA understands that the name and address of the shipper and consignee on a document must be same as marked on the package(s).

In case of “Consolidation”, “the name and address of the shipper and consignee” on air waybill may be different from the name and address of the shipper and consignee marked on the package(s).

i.e.: the air waybill shows the name and address of the freight forwarder and the package(s) show the name and address of the actual (house) shipper and consignee.

In those cases, the actual (house) shipper and consignee must be included on a document.

Note: The above requirements are subject to Section IB Batteries.

For Section II batteries, the words “Lithium ion (metal) batteries in compliance with Section II of PI 9XX” (965, 966, 967, 968, 969 or 970) must be included on the air waybill.

2) Overpack Information.

Section IB batteries can be overpacked but when those are overpacked, the overpack information must be included on a document as required in 8.1.6.9.2 Step 7 and marked on the outside of overpack(s) as required in 7.1.4.1 of the DGR.

3. Template of the additional document.

NCA recommended template of the additional document to include all required items above is attached below with some examples.

Note:

- 1) the attached template is our recommendation and not a mandatory, any format can be acceptable if it includes all required information. And some other Airlines require DGD (Shipper’s Declaration for Dangerous Goods) for Section IB batteries. If a shipper prepares DGD for Section IB batteries, it is also acceptable. NCA is not in a position to take any responsibility for the accuracy of the above.
- 2) The IATA Dangerous Goods Regulations and the IATA Lithium Battery Guidance Document.

Additional Document for Section II of PI965 to PI970 and Section IB of PI965 and PI968

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 - Maximum of</p> <ul style="list-style-type: none"> • 20 Watt-hours per cell; and • 100 Watt-hours per battery 	<p>Lithium Metal – Maximum of</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 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</p>	<p><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</p>
<p><input type="checkbox"/> Cells or batteries only (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 only (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 with equipment (ICAO/IATA Packing Instruction 966, Section II) – Cells or batteries packed in a package with equipment</p>	<p><input type="checkbox"/> Packed with equipment (ICAO/IATA Packing Instruction 969, Section II) – Cells or batteries packed in a package with equipment</p>
<p><input type="checkbox"/> Contained in equipment (ICAO/IATA Packing Instruction 967, Section II) – Cells or batteries contained in equipment</p>	<p><input type="checkbox"/> Contained in equipment (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><u>Name/Address of consignee</u></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: _____

Additional Document for Section II of PI965 to PI970 and Section IB of PI965 and PI968

- EXAMPLE 1

Air Waybill number Master : 933-1234 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	Lithium Metal – Maximum of
<ul style="list-style-type: none"> • 20 Watt-hours per cell; and • 100 Watt-hours per battery 	<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; or >2.7Wh but ≤ 20Wh = 8 cells; or >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; or >0.3g but ≤ 1g = 8 cells; or >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:

81-476-32-XXXX

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

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

<u>Name/Address of shipper:</u> <u>ABC Battery Co., LTD.</u> <u>1-1-1 Narita Airport,</u> <u>Narita-shi, Chiba 282-0000</u> <u>Japan</u>	<u>Name/Address of consignee:</u> <u>ABC Battery USA INC.</u> <u>1000 ABC Drive Los Angeles</u> <u>92827 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 Nippon, 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 be included in the "Nature and Quantity of Goods" box of Air Waybill.

Additional Document for Section II of PI965 to PI970 and Section IB of PI965 and PI968

- **EXAMPLE 2**

Air Waybill number Master : 933-1234 5670 House: ABC-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	Lithium Metal – Maximum of
<ul style="list-style-type: none"> • 20 Watt-hours per cell; and • 100 Watt-hours per battery 	<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; or >2.7Wh but ≤ 20Wh = 8 cells; or >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; or >0.3g but ≤ 1g = 8 cells; or >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>10</u> package(s) x <u>10</u> kg G each	<input 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:

81-476-32-XXXX

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

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

<u>Name/Address of shipper:</u> <u>ABC Battery Co., LTD.</u> <u>1-1-1 Narita Airport,</u> <u>Narita-shi, Chiba 282-0000</u> <u>Japan</u>	<u>Name/Address of consignee</u> <u>ABC Battery USA INC.</u> <u>1000 ABC Drive Los Angeles</u> <u>92827 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>10 (packages) x 10kgG, Overpack used</u>	

Name/Title of Signatory: Taro Nippon, 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 be included in the "Nature and Quantity of Goods" box of Air Waybill.

Additional Document for Section II of PI965 to PI970 and Section IB of PI965 and PI968

- EXAMPLE 3

Air Waybill number Master : 933-1234 5670 House: ABC-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	Lithium Metal – Maximum of
<ul style="list-style-type: none"> • 20 Watt-hours per cell; and • 100 Watt-hours per battery 	<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; or >2.7Wh but ≤ 20Wh = 8 cells; or >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; or >0.3g but ≤ 1g = 8 cells; or >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:

81-476-32-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>ABC Battery 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 Battery USA INC.</u> <u>1000 ABC Drive Los Angeles</u> <u>92827 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>10 x 5kgG (UN3480) and 10 x 2kgG (UN3090), overpack used x 3, #126,</u> <u>#127, #128, total quantity per overpack UN3480=50kgG UN3090=20kgG</u>	

Name/Title of Signatory: Taro Nippon, 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 be included in the "Nature and Quantity of Goods" box of Air Waybill.