



# BATTERY SHIPPING POLICY

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## DHL eCOMMERCE

# BATTERY SHIPPING POLICY

**All shippers are required to read, understand and comply with all regulations applicable to sending shipments of batteries within the United States or from the United States to Canada. The applicable requirements in the most current versions of, but not limited to, the following regulations must be met:**

- 49 Code of Federal Regulations Parts 100-180; Hazardous Materials Regulations;
- International Civil Aviation Organization Technical Instructions on the Safe Transport of Dangerous Goods by Air (ICAO TI);
- International Air Transport Association Dangerous Goods Regulations (IATA DGR);
- U.S. Postal Service Publication 52 - Hazardous, Restricted, and Perishable Mail Publication; and
- U.S. Postal Service International Mail Manual (IMM)
- Transport Canada TDG Regulations
- Canada Post Regulations

### **Lithium Batteries – General Provisions**

As set forth below DHL eCommerce accepts Lithium Metal (Primary) and Lithium-ion (Secondary) batteries for shipping that are 1) contained in equipment, 2) packed with equipment or 3) as stand-alone battery shipments. Though mailable through DHL eCommerce's Domestic "Ground" service, additional restrictions apply to shipments utilizing our Domestic Expedited Max, Expedited or International services.

### **Domestic services in scope for this policy:**

- Domestic Ground Services: DHL SmartMail Parcel Ground, DHL SmartMail Parcel Plus Ground
- Domestic Expedited Services: DHL SmartMail Parcel Expedited; DHL SmartMail Parcel Plus Expedited
- Domestic Expedited Max Services: DHL SmartMail Parcel Expedited Max, DHL SmartMail Parcel Plus Expedited Max

### **International services in scope for this policy:**

- DHL Parcel International Standard (PLY) (U.S. to Canada)
- DHL Parcel International Direct (PLT) (U.S. to Canada)

Other Domestic and International services cannot be used to ship batteries. Please see the below chart for the full list of Acceptable and Prohibited shipment types that apply to mailings containing Lithium Metal or Lithium-ion batteries.

### **OVERVIEW**

	Battery Type	Domestic Ground and Parcel International Direct (PLT) to Canada	Domestic Expedited Max, Expedited, and Parcel International Standard (PLY) to Canada
Lithium Metal Cells or Batteries	Contained in	Accepted	Accepted*
	Packed with	Accepted	Prohibited
	Stand-alone	Accepted	Prohibited
Lithium-ion Cells or Batteries	Contained in	Accepted	Accepted*
	Packed with	Accepted	Prohibited
	Stand-alone	Accepted	Prohibited

\*For U.S. Domestic Expedited Max, Expedited and Parcel International Standard (PLY) to Canada shipments some exceptions apply to, DHL eCommerce only accepts packages that do not require hazard markings and documentation. Please note for international shipments there may also be country restrictions.

**The Samsung Galaxy Note 7 device with batteries cannot be transported in our Domestic (Expedited Max, Expedited and Ground) or International networks until further notice.**

**Mobile power banks used to charge electronic devices must be shipped as "stand-alone" batteries, meaning they cannot be transported in Expedited/International shipments.**

## Battery Type Definitions

- Contained in = package has lithium batteries contained in equipment (properly installed in the equipment they are intended to operate)
- Packed with = package contains equipment + cells or batteries that are NOT installed in the equipment
- Stand-alone = package ONLY contains batteries or cells; NO equipment

## Restrictions that Apply to All Lithium Metal and Lithium-ion Cells or Batteries:

1. DHL eCommerce will not accept damaged, defective or recalled lithium batteries.
2. DHL eCommerce will not accept remote consumer electronic power supply devices commonly referred to as “power banks” or e-cigarettes powered by lithium batteries in the Expedited or International network.
3. All outer packages must have a complete delivery, return address and Ancillary Service Endorsement. All outer packages must have a complete delivery, return address and Ancillary Service Endorsement. Change request is not allowed. Permissible endorsement: Address Service Requested; Forwarding Service Requested or Return Service Requested.
4. Each cell or battery must meet the requirements of each test in the UN Manual of Tests and Criteria, Part III, subsection 38.3 as referenced in the Department of Transportation “DOT” Hazardous Materials Regulation (HMR) at 49 CFR § 171.7. Proof of satisfactory completion of testing must be available and provided to DHL eCommerce upon request.
5. Lithium cells or batteries, including lithium cells or batteries packed with, or contained in, equipment, must be packaged in a manner to prevent short circuits, movement within the outer package and accidental activation of the equipment.
6. Lithium cells or batteries must be placed in non-metallic inner packaging that completely enclose the cells or batteries and separate the cells or batteries from contact with equipment, other devices, or conductive materials (e.g., metal) in the packaging.
7. Cells and batteries installed in equipment must be protected from damage and short circuit.
8. When lithium cells and batteries are packed with equipment, the package may not contain more cells or batteries than the minimum number required to power the equipment plus two spares
9. Each lithium-ion battery subject to this provision must be marked with the Watt-hour rating on the outside case.
10. Except when cells or batteries are contained in equipment, the packaging must be capable of withstanding a 1.2 meter drop test, in any orientation without damage to the cells or batteries contained in the package, without shifting of the contents that *would allow battery-to-battery (or cell-to-cell) contact, and without release of the contents of the package. In addition, packages weighing less than 20 lb. must be rated to 200 lb. burst test or 32 edge-crush test strength.*
8. The equipment must be equipped with an effective means of preventing it from being turned on or activated during transport.
9. DHL eCommerce prohibits pre-owned, damaged, or defective lithium battery-powered devices (as defined by USPS) in our transport network, by either air or ground service.



## DHL eCommerce Policy Limits and Requirements for Shipping Lithium Metal/Ion Cells and Batteries

The following charts list the specific requirements for each type of shipment that is mailable through the DHL eCommerce network. Each chart provides specific package quantity limits, required markings and the weight limit per package allowable in the DHL eCommerce system.

### LITHIUM METAL CELLS AND BATTERIES

#### FOR DOMESTIC GROUND AND PARCEL INTERNATIONAL DIRECT (PLT) TO CANADA SHIPMENTS

	Contained in	Packed with	Stand-alone (Ground only)
<b>Battery Size Limits</b>	Cells: Must not exceed 1 gram lithium content.  Batteries: Must not exceed 2 grams lithium content.	Cells: Must not exceed 1 gram lithium content.  Batteries: Must not exceed 2 grams lithium content.	Cells: Must not exceed 1 gram lithium content.  Batteries: Must not exceed 2 grams lithium content.
<b>Package Quantity Limits</b>	1: For lithium button cells or batteries with a lithium content $\leq 0.3$ grams, no limit on the number of cells or batteries.  2: If $> 0.3$ grams, no more than two (2) batteries or four (4) cells AND no more than two packages in a single consignment.	1: For lithium cells or batteries with a lithium content $\leq 0.3$ grams, no more than the minimum number required to power the equipment, plus two spares.  2: If $> 0.3$ grams, no more than two (2) batteries or eight (8) cells.	No limit on number of cells or batteries per package.
<b>Packaging</b>	Strong, rigid outer packaging.	Strong, rigid outer packaging capable of passing a 1.2 meter drop test.	The lithium cells and batteries must be mailed in the "originally sealed packaging" and placed in strong, rigid outer packaging capable of passing a 1.2 meter drop test.
<b>Markings and Documentation</b>	✓ Shipper/ Consignee label	✓ Shipper/ Consignee label ✓ The package must be marked as described in Appendix 1.	✓ Shipper/ Consignee label ✓ Must be marked "Surface Mail Only, Primary Lithium Batteries Forbidden for Transportation Aboard Passenger Aircraft" or "Surface Mail Only, Lithium Metal Batteries — Forbidden for Transportation Aboard Passenger Aircraft." ✓ The package must also be marked as described in Appendix 1.
<b>Package Weight Limit</b>	1: For lithium cells or batteries with a lithium content $\leq 0.3$ grams, no mail-piece may exceed 5.5 pounds.  2: For lithium cells or batteries greater than 0.3 grams, no mail-piece may exceed 11 pounds.	1: For lithium cells or batteries with a lithium content $\leq 0.3$ grams, no mail-piece may exceed 5.5 pounds.  2: For lithium cells or batteries greater than 0.3 grams, no mail-piece may exceed 11 pounds.	For lithium metal cells and batteries, no mail-piece may exceed 5 pounds.

**LITHIUM-ION CELLS AND BATTERIES****FOR DOMESTIC GROUND AND PARCEL INTERNATIONAL DIRECT (PLT) TO CANADA SHIPMENTS**

	<b>Contained in</b>	<b>Packed with</b>	<b>Stand-alone</b>
<b>Battery Size Limits</b>	Cells: Must not exceed 20 Watt-hours (Wh).  Batteries: Must not exceed 100 Wh.	Cells: Must not exceed 20 Watt-hours (Wh).  Batteries: Must not exceed 100 Wh.	Cells: Must not exceed 20 Watt-hours (Wh).  Batteries: Must not exceed 100 Wh.
<b>Package Quantity Limits</b>	1: If $\leq 2.7$ Wh per button cell/battery, no limit on the number of cells or batteries. 2: If $> 2.7$ Wh, no more than four (4) cells or two (2) batteries AND no more than two packages in a single consignment.	1: If $\leq 2.7$ Wh per cell/battery, no more than the minimum number required to power the equipment, plus two spares. 2: If $> 2.7$ Wh, no more than eight (8) cells or two (2) batteries.	No limit on number of cells or batteries per package.
<b>Packaging</b>	Strong, rigid outer packaging.	Strong, rigid outer packaging capable of passing a 1.2 meter drop test.	The lithium cells and batteries must be mailed in the "originally sealed packaging" and placed in strong, rigid outer packaging capable of passing a 1.2 meter drop test.
<b>Markings and Documentation</b>	✓ Shipper/ Consignee label	✓ Shipper/ Consignee label ✓ The package must be marked as described in Appendix 1.	✓ Shipper/ Consignee label ✓ Must be marked "Surface Mail Only, Secondary Lithium Batteries – Forbidden for Transportation Aboard Passenger Aircraft" or "Surface Mail Only, Lithium-ion Batteries – Forbidden for Transportation Aboard Passenger Aircraft" ✓ The package must also be marked as described in Appendix 1.
<b>Package Weight Limit</b>	1: For lithium cells or batteries with a lithium content $\leq 2.7$ Wh, no mail-piece may exceed 5.5 pounds. 2: For lithium cells or batteries greater than 2.7 Wh, no mail-piece may exceed 11 pounds.	1: For lithium cells or batteries with a lithium content $\leq 2.7$ Wh, no mail-piece may exceed 5.5 pounds. 2: For lithium cells or batteries greater than 2.7 Wh, no mail-piece may exceed 11 pounds.	For lithium-ion cells and batteries, no mail-piece may exceed 5 pounds.

**ONLY LITHIUM CELLS AND BATTERIES CONTAINED IN EQUIPMENT  
ARE ACCEPTED IN DOMESTIC EXPEDITED MAX, DOMESTIC EXPEDITED,  
AND PARCEL INTERNATIONAL STANDARD (PLY) TO CANADA SHIPMENTS**

	<b>Lithium Metal Contained in</b>	<b>Lithium Ion Contained in</b>
<b>Battery Size Limits</b>	Cells: Must not exceed 1 gram lithium content. Batteries: Must not exceed 2 grams lithium content.	Cells: Must not exceed 20 Wh. Batteries: Must not exceed 100 Wh.
<b>Package Quantity Limits</b>	1: Button cell batteries ( $\leq 0.3$ g) installed in equipment (including circuit boards), no limit.  2: No more than four (4) cells or two (2) batteries installed in equipment AND no more than two packages in a single consignment.	1: Button cell batteries ( $\leq 2.7$ Wh) installed in equipment (including circuit boards), no limit.  2: No more than four (4) cells or two (2) batteries installed in equipment AND no more than two packages in a single consignment.
<b>Packaging</b>	Strong, rigid outer packaging	Strong, rigid outer packaging
<b>Markings and Documentation</b>	✓ Shipper/ Consignee label	✓ Shipper/ Consignee label
<b>Package Weight Limit</b>	1: For lithium cells or batteries installed in equipment with a lithium content $\leq 0.3$ grams, no mail-piece may exceed 5.5 pounds. 2: For lithium cells or batteries greater than 0.3 grams, no mail-piece may exceed 11 pounds. 3: 4.4 pounds for Parcel International Standard to Canada	1: For lithium cells or batteries installed in equipment with a lithium content $\leq 2.7$ Wh, no mail-piece may exceed 5.5 pounds. 2: For lithium cells or batteries greater than 2.7 Wh, no mail-piece may exceed 11 pounds. 3: 4.4 pounds for Parcel International Standard to Canada

**It is recommended that the state of charge of each cell or battery does not exceed 30% of its rated capacity**

## DHL eCommerce Policy for Shipping Lithium Metal/Ion Cells and Batteries – Violations

To safeguard shipments, shippers sending Lithium Metal (Non-Rechargeable) or Lithium-ion (Rechargeable) batteries or cells that violate the policy restrictions in this document are subject to suspension or termination from shipping with DHL eCommerce. DHL eCommerce reserves the right to inspect and open packages that are suspected to contain dangerous goods. DHL eCommerce will adhere to the following schedule if such issues arise:

- 1. First Offense:** Shippers will sign a letter acknowledging the offense and will be responsible for creating an action plan (e.g. employee training, standard operating procedures, enhanced per-shipment inspections & checklists, etc.) to address how future offenses will be avoided. Shipments will be randomly screened until DHL eCommerce is satisfied that the corrective actions are effective. Shipper may be immediately suspended or terminated from shipping with DHL eCommerce, with no liability on the part of DHL eCommerce and no breach of contract on the part of DHL eCommerce as it relates to termination.
- 2. Second Offense:** Shippers will be required to modify the action plan to assure compliance with this policy. Shippers will be required to provide proof of employee training and the corrective actions that have been implemented. Shipments will be screened randomly until DHL eCommerce is satisfied that the corrective actions are effective. Shipper may be immediately suspended or terminated from shipping with DHL eCommerce, with no liability on the part of DHL eCommerce and no breach of contract on the part of DHL eCommerce as it relates to termination.
- 3. Continuance Offenses:** Shipper may be immediately suspended or terminated from shipping with DHL eCommerce with no liability on the part of DHL eCommerce and no breach of contract on the part of DHL eCommerce as it relates to termination.

DHL eCommerce is required to submit a written report in accordance with 49 CFR § 171.16 if a fire, violent rupture, explosion or dangerous evolution of heat occurs during transport as a direct result of a Lithium battery or battery-powered device.

The waiver or failure of DHL eCommerce to exercise in any respect any right or remedy provided for in this Policy shall not be deemed a waiver of any such right or remedy right hereunder.

Shippers could be subject to penalties from the DOT. A person who knowingly violates the hazardous materials regulations may be assessed a civil penalty of not more than \$89,000 for each violation, except the maximum civil penalty is \$209,000 if the violation results in death, serious illness or severe injury to any person or substantial destruction of property.

In each instance where a package(s) is discovered by DHL eCommerce to be undeclared, non-compliant or shipped without prior authorization, the package(s) will be held and the shipper will need to arrange for the package(s) to be picked up or properly disposed. Additionally, the shipper will be responsible for all associated costs. Please note that DHL eCommerce will not ship or return non-compliant or damaged shipments back to the shipper.

All items tendered to DHL eCommerce must comply with the requirements for shipping of Primary Lithium (Non-Rechargeable/Lithium metal) Cells and Batteries and Secondary Lithium-ion (Rechargeable/Lithium ion) Cells and Batteries according to 49 CFR Parts 100-180 (HMR) and the USPS Publication 52, USPS Domestic Mail Manual (DMM) 601.10 and USPS International Mail Manual (IMM) 135.6, TDGR Special Provision 34, and Canada Post policies. Additionally, for Expedited shipping, the legal requirements in the International Civil Aviation Organization Technical Instructions (TI) on the Safe Transport of Dangerous Goods by Air (ICAO TI) apply, as well as the operator requirements in the IATA Dangerous Goods Regulations.

## Dry Cell/ Alkaline Batteries

DHL eCommerce will accept Dry Cell/Alkaline batteries for carriage in both its Domestic Ground and Domestic Expedited services under the conditions listed below. *Examples of Dry Cell/Alkaline batteries include: alkali-manganese, zinc-carbon, nickel cadmium and nickel metal hydride batteries.*

1. Transport by U.S. Domestic Ground and Parcel International Direct (PLT) to Canada service – no marking required per 49 CFR Part 172-102 SP 130
2. Transport by U.S. Domestic Max and Expedited service – no marking required if the battery does not exceed 9 volts. If the battery exceeds 9 volts, the marking “Not Restricted” must appear on either the transport document or the package as per 49 CFR Part 172.102 SP 130
3. Transport by International services – prohibited

Note: When calculating voltage, the 9 volt limit applies to the battery and not to consolidation of packages of batteries. Batteries must also be packaged appropriately to protect them from damage and short circuit consistent with the requirements specified in 49 CFR 172.102 SP 130.

## Limits of Liability and Indemnification

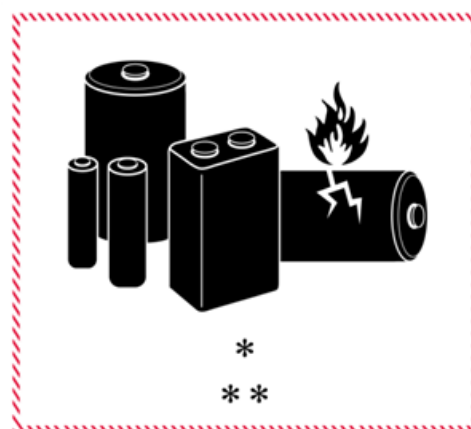
Shipments in violation of any of the aforementioned mentioned regulations regarding Lithium or Dry Cell/Alkaline batteries may be in breach of federal law and may be subject to penalties. The shipper accepts responsibility for any such violation and shall defend, indemnify, and hold harmless DHL eCommerce from any and all governmental or private party claims, damages, expenses, fines, penalties or liability resulting from, or arising out of, any breach or non-compliance with the above terms or regulations. DHL eCommerce will have no liability whatsoever for any delay or damage due to non-compliance with any of the above terms or regulations by the shipper.

## APPENDIX 1

### Marking

When required, the marking shown below must be displayed on the same side as the address in accordance with USPS Publication 52, Chapter 2, Section 221.

To fulfill marking requirements, shippers must use the lithium battery mark (below):



\* UN Number, as appropriate

\*\* Add telephone number

The dimensions must be consistent with those specified in 49 CFR 173.185(c)(3).