

# Packaging and Shipping Instructions

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## 1. Introduction

Oerlikon Surface Solutions AG is a company with operations worldwide and has committed itself to comply with applicable laws and regulations in these various countries.

These packaging and shipping regulations have been developed to ensure fast and proper handling throughout the entire delivery chain and to optimally protect our products from damage. They serve as the basis for a common understanding between our suppliers and logistics partners and form the foundation for correct packaging, labeling and delivery to our plants worldwide.

Our packaging and shipping regulations specify the packaging standard and ensure that applicable laws and regulations in the respective countries are complied with. These regulations assume a normal level of stress and strain during loading and transportation.

The scope of these packaging and shipping regulations includes orders of the companies Oerlikon Balzers Coating AG and Oerlikon Surface Solutions AG, Zweigniederlassung Balzers, named in these packaging and shipping regulations as „BALZERS“.

Supplementary regulations can be found directly in our orders.



## 2. Packaging

The packing materials provide protection from contamination and damage. The external labeling ensures that the goods can be identified at any time.

### 2.1 Procedure for cleaning workpieces

The cleaned workpiece must be cooled down to room temperature before being packaged because otherwise the moisture in the air in the packaging material can condense on the hot/warm workpieces and cause water spots on the workpieces.

The cleaned workpieces must only be handled while wearing clean cotton gloves.

No organic packaging materials may be used for cushioning and securing the goods.

### 2.2 Packaging electrical parts

Sensitive electronic components or devices must be protected from static discharge with a special plastic film (ESD) and be delivered in packaging which is marked accordingly. Unpacking, repacking and packaging must only be conducted at an ESD-protected workstation.

### 2.3 Loading assumptions

The following loading assumptions are based on normal transportation stress and strain. Extreme and/or exceptional stress and strain cannot be used for the dimensioning of the normal packaging.

Means of transportation	forces acting [G]				
	forward	backward	laterally	upward	downward
Road vehicle	1.0 g	0.5 g	0.5 g	0.5 g	0.5 g
Sea-going vessel					
Worldwide traffic	1.2 g	1.2 g	0.8 g	-	1.0 g
Aircraft	1.5 g	1.5 g	1.5 g	3.0 g	1.0 g

Load assumptions based on the CTU/HTP guideline

### 2.4 Packaging material

The manufacturer is aware of the special characteristics and sensitivities of his products. The manufacturer decides which type of packaging and which conservation concept is the most advantageous for his product, depending on its sensitivity.

The packaging material must be clean, in new condition and free of traces of previous use. For the type of packaging chosen and for the cushioning, the following stresses and strains must be cleared up so that optimal protection can be ensured.

Furthermore, the following points must receive special attention:

- Suitable for means of lifting and conveyance
- Protection against theft
- Packaging of hazardous materials in accordance with the respective applicable regulations
- Protection from the influence of various climatic conditions
- Multiple reloading and/or transfers
- Transportation on poor roads
- Recyclable / environmentally-friendly materials
- Stacking pressure of 1.0 t/m<sup>2</sup> or 8 m stacking height (sea freight)
- Without exception, only neutral packaging tape is to be used

For wooden packaging the ISPM Standard 15 is compulsory. Details can be found in Appendix 3.

### 3. Corrosion protection

For standard packaging, we require corrosion protection which remains effective for up to one year. We recommend the VCI method. However, as an alternative, the desiccant method can be used.

The application and the amount of the corrosion protection must be determined in accordance with the manufacturer's specifications.

**Important!**

Parts which are under vacuum must be protected from contact with organic packaging materials such as wood, cardboard, paper, etc. by means of a PE film. Corrosion protection using oil is strictly forbidden in this case.

Any long-term packing requirements (> 1 year) must be made in consultation with BALZERS.

### 4. Labeling regulations

**Fundamental requirements**

All parts must be packed and labeled.

Furthermore, additional packaging instructions have to be considered according our placed order.

The article description must be done in German and English language.

The label must be without any reference to supplier/producer (reference see appendix 1)

#### 4.1 External packaging

The application of our ordering number to any official papers (invoice, delivery note) is mandatory.

If a product is required to have a serial number, then the respective serial number must be marked clearly on the labels on the external packaging. The labeling must be splash-proof and waterproof.

Special markings must be made according to Appendix 2.

Accompanying documentation such as checklists, bills of materials etc. must be attached to the delivery papers (and not be placed in the respective box).

#### 4.2 Material set for spare parts

The goods must be packed as a set and labeled, where appropriate (e.g. stating serial number), on each item according to the regulations in Appendix 1 both externally and internally. All items must be clearly identifiable.

#### 4.3 Small parts / orders included in packaging

If small parts or different orders are included in one container, these must be clearly separated through a separate internal container and must be labeled separately.

#### 4.4 Creation of Oerlikon Labels

The general quality requirements for supplier labels are resistance against external influences, durability and aging proof.

The product label is created by using a special website. The following link has to be opened:

<https://productlabel.oerlikon.com>

In case you are asked concerning a certificate please accept the certificate. The language setting is available in German and English language. The language set up can be done in the top right corner of the input mask.

**Product label**

Part number

Index  Refresh

Serial number

Quantity

**Label Properties**

Label type **White** Preprinted template

Label size **Large** Medium Small  
(110 x 70 mm) (105 x 70 mm) (70 x 37 mm)

Paper **Single label** A4 sheet

Label position Row  Column  Count 1

Download Open in new Tab

In order to create the product label, the following entries are required:

1. Enter part number and
2. determine index:

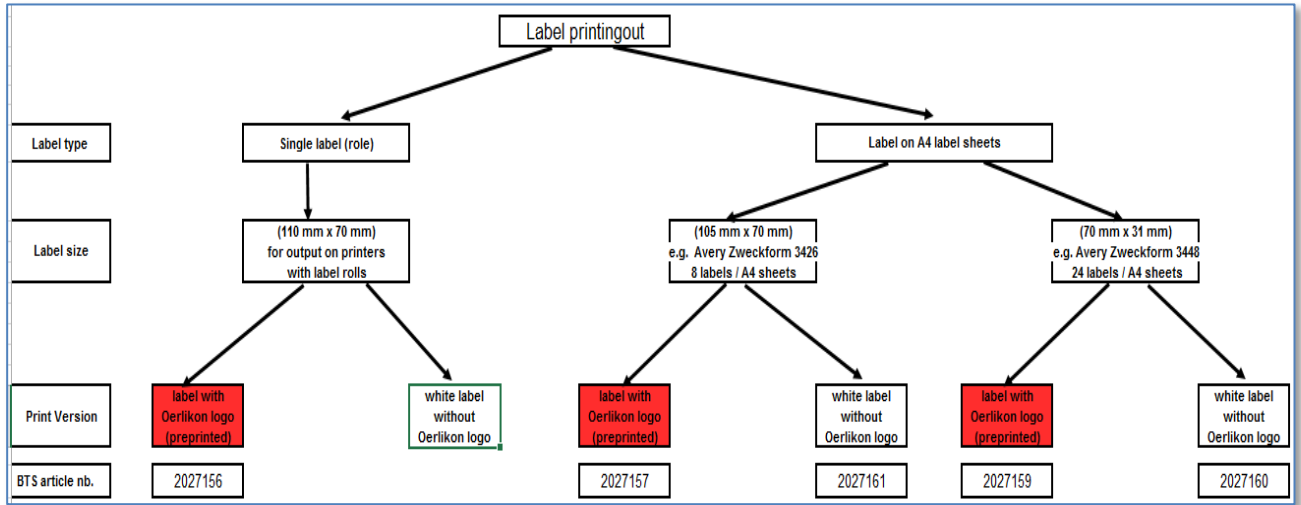
The default setting of the label always displays the current index of the part. The index can be changed. The selection box in the index area offers all available indexes of the part.

3. The serial or batch number of the part is optional
4. Packing quantity (quantity unit)

After entering the information you must set the output and product label format.

Different labels (predefined label templates) are always available with or without Oerlikon Balzers logo according to the printer options (colour or black and white). The label must always include the colored Oerlikon Balzers logo – either pre-printed (-> “Pre-printed”) or with label printing (-> “White”).

The label is issued in PDF format. The following label dimensions are supported:



These options are selected in the “Label” menu according to the desired print variant.

Product label

Part number

Index

Serial number

Quantity  STK

**Label Properties**

Label type

Label size

Paper

Label position Row  Column  Count

After you select the “Download” field, the label is generated in PDF format and can be printed according to the label selection.

Example of product label on labels of label printer with a roller magazine



More information on the position and number of labels to be printed is required for printing on A4 sheets.

Depending on the start position of the 1st label the program allows the available number of labels at maximum to be printed on the current A4 sheet.

In the following example 5 copies of the product label are printed from the start position 1st row / 1st column. At maximum 8 labels of 105 x 70 mm format can be printed on this sheet.

**Product label**

Part number

Index A

Serial number

Quantity  STK

**Label Properties**

Label type White Preprinted template

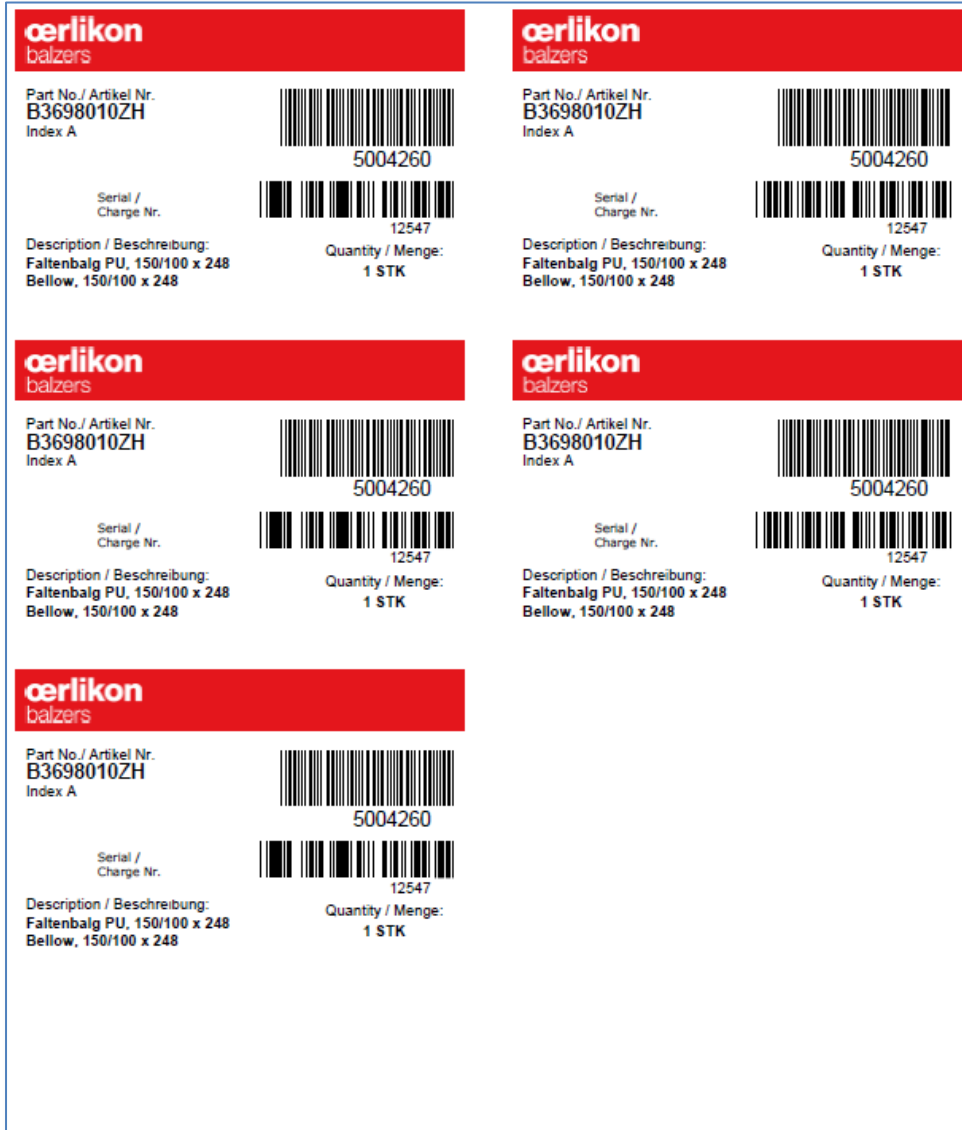
Label size Large (110 x 70 mm) Medium (105 x 70 mm) Small (70 x 37 mm)

Paper Single label A4 sheet

Label position Row 1 Column 1 Count 5

Issuing DIN A4 sheet (5 labels, size 105 x70 mm)





The product label is issued in PDF format and can be printed according to the output format on laser/ink jet printers or special label printers. The readability of the bar code and the correct position of the text fields must be checked.

## 5. Transportation and shipping instructions

The shipping instructions are listed on every order and must be complied with. In the case of delays in processing, any costs arising shall be borne by the supplier. Measurements of delivery reliability are only valid when all papers and information are at hand.

**In the event that Oerlikon Balzers AG is the freight payer, the forwarder from Oerlikon Balzers AG must be used.**

The following particulars or documentation must be presented mandatorily without request on all delivery and commercial papers.

1. Swiss customs tariff number
2. Country of origin
3. Notice whether the goods are of preferential origin or not

If yes, a valid proof of origin must be included in the delivery (e.g. invoice declaration, EUR1, EUR-MED). For regular deliveries it is possible to issue a long-term declaration.

4. Our order number
5. Conformity declarations and conformity declaration marking

**Advanced notice:** The delivery papers, the shipping invoice and, as the case may be, the proof of origin must be sent to the following email address before shipping: [Infologistics.balzers@oerlikon.com](mailto:Infologistics.balzers@oerlikon.com)

In the event of incomplete or faulty particulars, the supplier will be contacted.

If additional costs are incurred due to disregard of these regulations, they will be billed to the supplier.

## 6. Export control

### Deliveries of suppliers from CH/FL

- Notice whether the goods are listed in the Swiss export control and sanctions goods control list or not
  - If yes, the national list number must be indicated (EKN No.)  
Further information: <http://www.seco.admin.ch/>
  
- Information, if the goods are subject to U.S. (re-) export provisions (“subject to the EAR”)
  - If yes, the US list number according U.S. Commerce Control List must be indicated (ECCN No.).  
Further information: <https://www.bis.doc.gov/eccn>
  - If no, please indicate “ECCN = N/A (not applicable)”

### Deliveries of suppliers from U.S.A

- US list number according U.S. Commerce Control List must be indicated (ECCN No.).  
Further information: <https://www.bis.doc.gov/eccn>

### Deliveries of suppliers from Asia

- Information, if the goods are subject to U.S. (re-) export provisions (“subject to the EAR”)
  - If yes, the US list number according U.S. Commerce Control List must be indicated (ECCN No.)
  - If no, please indicate “ECCN = N/A (not applicable)”  
Further information: <https://www.bis.doc.gov/eccn>

### Deliveries from Europe

- Notice whether the goods are listed in the national export control and sanctions lists or not
  - If yes, the national list number must be indicated (EKN No.)  
Further information: <http://ec.europa.eu/trade/import-and-export-rules>
  
- Information, if the goods are subject to U.S. (re-) export provisions (“subject to the EAR”)
  - If yes, the US list number according U.S. Commerce Control List must be indicated (ECCN No.)  
Further information: <https://www.bis.doc.gov/eccn>
  - If no, please indicate “ECCN = N/A (not applicable)”
  
- For all classifications, it goes without saying that, in addition to the dual-use items, also military items, weapons of war and ITAR should be stated according to the classification.

## 7. Conduct on company premises

### 7.1 General

- Instructions given by staff must be followed.
- Within company premises, smoking is only permitted in designated smoking areas. Consumption of alcohol or being under the influence of alcohol is forbidden on company premises.
- Suppliers must dispose of rubbish properly in the available bins or take their rubbish with them.

### 7.2 Company premises

- Driving with an open lifting platform is forbidden on company premises.
- Road traffic regulations and a speed limit of 20 km/h apply on company premises. Vehicles must be driven on the right. When driving, be aware of people moving in your vicinity.
- Vehicles may only be parked in the designated areas and may only remain for the duration of unloading.
- Escape routes must be kept clear at all times.

### 7.3 Incoming Goods

- The Incoming Goods area is always busy with working equipment moving around. Please take special care.
- Do not sit or stand on working equipment when it is being moved.
- Working equipment (e.g. fork lifts) may only be used with staff approval and is used at your own risk. Suppliers are liable for damage they cause. Accidents and damage must be reported immediately to the Incoming Goods area manager.
- Suppliers are only permitted to access the Incoming Goods area. All other areas in the warehouse may only be entered once approval has been given.
- Before unloading, suppliers must report to the staff in charge of the Incoming Goods area with the consignment and delivery notes to be given instructions.
- Suppliers are responsible for unloading vehicles.
- Work gloves and safety shoes must be worn when unloading vehicles.

**Appendix 1: Marking**

Marking on the external packaging

Artikelnummer Material number	Artikelbezeichnung Material description	Seriennummer Serial number	Menge Number of pieces
<b>BN846910-T</b>	<b>Quellen-Gehäuse kpl. / Source housing cpl.</b>	<b>R 01119 / 170</b>	<b>1</b>
BB473650-T	Source housing, cpl.	R 012368 / 180	1
BB465715-X	Cooling plate with mem. cpl.	R 012365 / 190	1
BB473665-X	Anode ring cpl.	R 012548 / 200	1
<b>Verpackungsmasse / Measurements:</b>		<b>80 x 30 x 30</b>	<b>cm</b>
<b>Gewicht Brutto / Gross weight:</b>		<b>25.0</b>	<b>kg</b>
<b>Gewicht Netto / Net weight:</b>		<b>21.5</b>	<b>kg</b>

Example of external packaging of a material set for spare parts

Marking on the internal packaging

For material kits for spare parts a label according Chapter 4.4 is to be attached to the respective article for every listed item with serial number (see example below). All articles must be clearly identifiable.



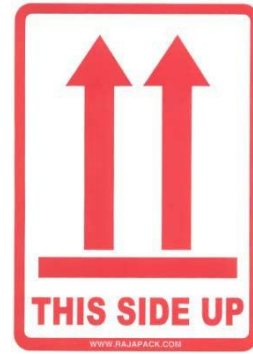
General requirements for the quality of labels

1. Durable
2. Resistant to external influences
3. High resistance to ageing

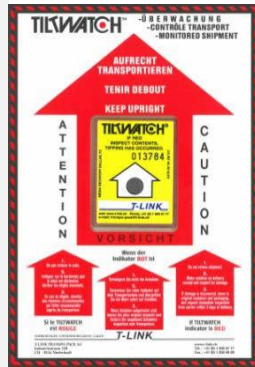
All parts must be packaged and labeled.  
 Furthermore, the packaging instructions of the order also apply.  
 The designation of the product must be visible in German and English.  
 The label must not contain any indication of the supplier/manufacturer (see the example above)

**Appendix 2: Special Marking**

Special markings  
(if required)



Labels on the front



Tipping indicator

Shock indicator

Other



Notice of corrosion. To be applied to both outer sides

The centre of gravity must be applied to all four sides at the top using a template and rolled-on black paint

### Appendix 3: ISPM Standard 15

The “International Standards for Phytosanitary Measures” (ISPM) are issued by the International Plant Convention (IPPC), a sub-organisation of the United Nations Food and Agriculture Organizations (FAO).

The ISPM Standard describes measures designed to reduce the risk of introducing or spreading wood pests in connection with wooden packaging.

Disregard of these regulations leads to a refusal of the shipment in the importing country concerned!  
The marking required by the ISPM Standard 15 must be applied in a clearly visible manner and should not be in the colour red or orange!

The following information must be applied compulsorily:

1. IPPC Logo
2. Permit number of the company (with ISO Code of the country)
3. Marking HAT (Heat Treatment)

Further information

1. <http://www.ippc.int/>
2. <http://www.bafu.admin.ch/wald/11015/11041/index.html?lang=de>

Suppliers outside of CH/FL please obtain information from your plant protection office.