

J M Baxi Group

Standard Operating Procedures and Policies

Operations – Project Forwarding (PF) division

Introduction

A **standard operating policies and procedure (SOPP)** is a set of step-by-step activities compiled by an organization to help workers carry out **complex** as well as **standard routine operations**. SOPP help to achieve **efficiency, quality output and uniformity of performance** while contributing to efforts that lead to **process excellence**.

This SOP aims to achieve the following objectives:

1. Act as a **guide and reference document** to stakeholders at all level of the organization
2. Clearly **communicate** activities and help to achieve **consistency** in operational procedures
3. **Create accountability** by assigning responsibilities at each stage of the lifecycle
4. **Aid governance** by documenting **auditable processes** and detailing **control elements** at each stage of the lifecycle

What is the Lifecycle and Process Tree?

Each SOPP follows the process tree hierarchy and covers a specific entire mega process.

- A **mega process** represents the logical start and end of a process lifecycle. It is a grouping of processes across functions

- A **process** represents logical grouping of sub processes and provides detail at functional level

- A **sub process** represents grouping of similar activities

- An **activity lists** down specific tasks that have/are measurable, time bound, associated risks, mitigating controls and defined owners

The entire business lifecycle consists of several mega processes. An SOPP is tasked with the coverage of all processes, sub process and activities applicable to a particular mega process

Who are the Stakeholders for this SOPP?

This stakeholders for this SOPP shall primarily be activity owners and business units.

1. Activity owners (operating units) – Activity owners shall use this SOPP as a reference document while performing their **activities daily**.

2. Business units – Business units shall use the SOPP as a repository of all activities across the lifecycle. This will aid in identifying **process improvement opportunities**.

Who will use this SOPP?

This SOPP shall be used by stakeholders across the entire organization. Most notable shall be the following:

1. Risk and Governance units – Risk and Governance units shall reference the SOPP to **review existing controls** and test their

2. Auditors – Auditors shall use this SOPP to check **adherence to defined processes** and standards. The SOPP shall help them identify any deviations to defined processes

How do you read the SOPP?

To read this SOPP, it is essential to understand the **process lifecycle and its coverage**. This SOPP is documented in a **chronological order** in line with the sequence of activities performed by activity owners. Therefore, it should be read as such.

This SOPP also provides references to various **organization level policies, checklists, systems,**

reports etc. These have been appropriately **referenced** at applicable activities and attached as Annexures to this SOPP.

Each activity has a performer and an activity owner assigned to it. An activity also has the following references against it:

- System reference – This lists down the system used to perform the activity
- Product reference – This column lists down the products that the activity is applicable to
- Activity owner (with prefix) – Each activity has a prefix that describes the nature of the activity. 'Maker only' means that it is a standalone activity. 'Maker' refers to the maker leg of a maker checker activity. 'Checker' refers to the checker leg of a maker checker activity.

Organization structure

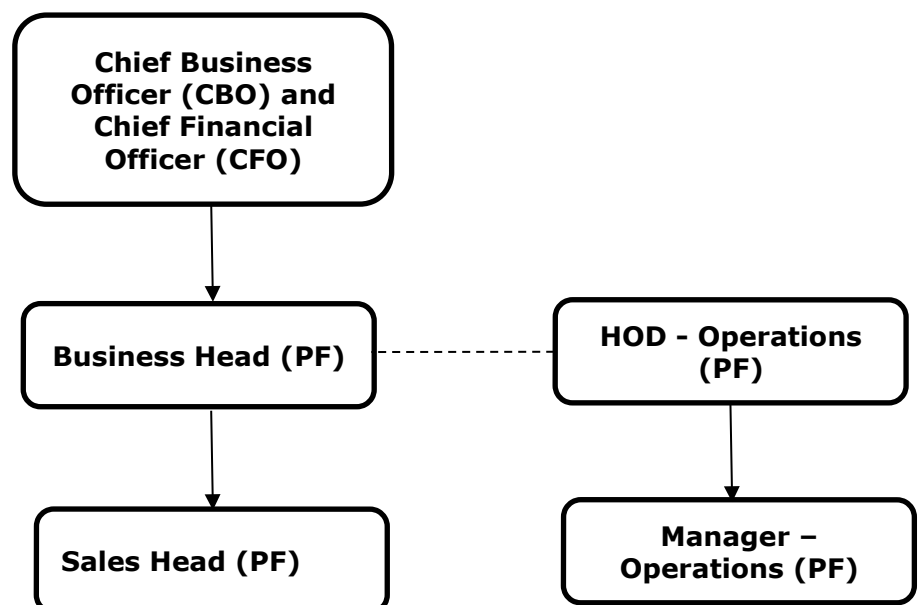
The organization structure defined in the SOPP is the structure defined at the functional level.

'**Activity owners**' are defined as those who are responsible for **performing the activity**.

'**Business Owners**' are defined as those who have **oversight and ultimate ownership** for the activities.

The '**roles and responsibilities**' table in the SOPP lists down the 'business owners' and provides details on **key activities** they are responsible for. The list of 'business owners' shall form the organization structure for the particular SOPP and mega process.

Organization Structure



Document review and approval

Revision history

Version	Created By	Document Approved By	Date Approved	Revision
		Mr Sameer Parikh and Mr Kushal Roy Chowdhury		

Applicable Entities	Entity Type	Entity Name	
	Heavy Logistics	J M Baxi Heavy Private Limited	
Process Owner			
IT Applications	Entity Name		System
	JM Baxi Heavy Private Limited		INFOR
Guidelines / Policy reference			
SOPP Cross References			

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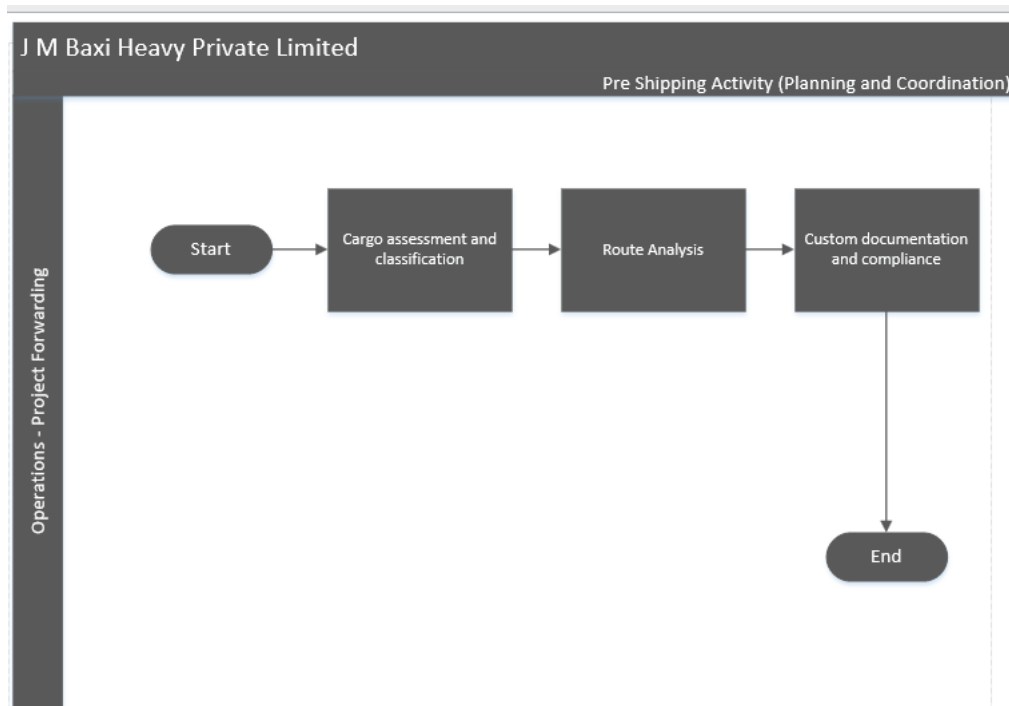
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Abbreviations and Definitions

Abbreviations	Details
IMO	International Maritime Organization
CAA	Civil Aviation Authorities
DOT	Department of Transportation
HASOP	Health and Safety Operation
EPA	Environmental Protection Agency
ISPS	International Ship and Port Facility Security
RTA	Road Transport Authority
BSC	Bill of Shipping Certificate
ECTN	Electronic Cargo Tracking Note
FERI	Foreign Exchange Receipt Invoice
HSE	Health Safety and Environment
IWAI	Inland Water Authority of India
IRS	Indian Register of Shipping

1. Pre-Shipping Activity (Planning and coordination)

Process Flow



Process Narrative

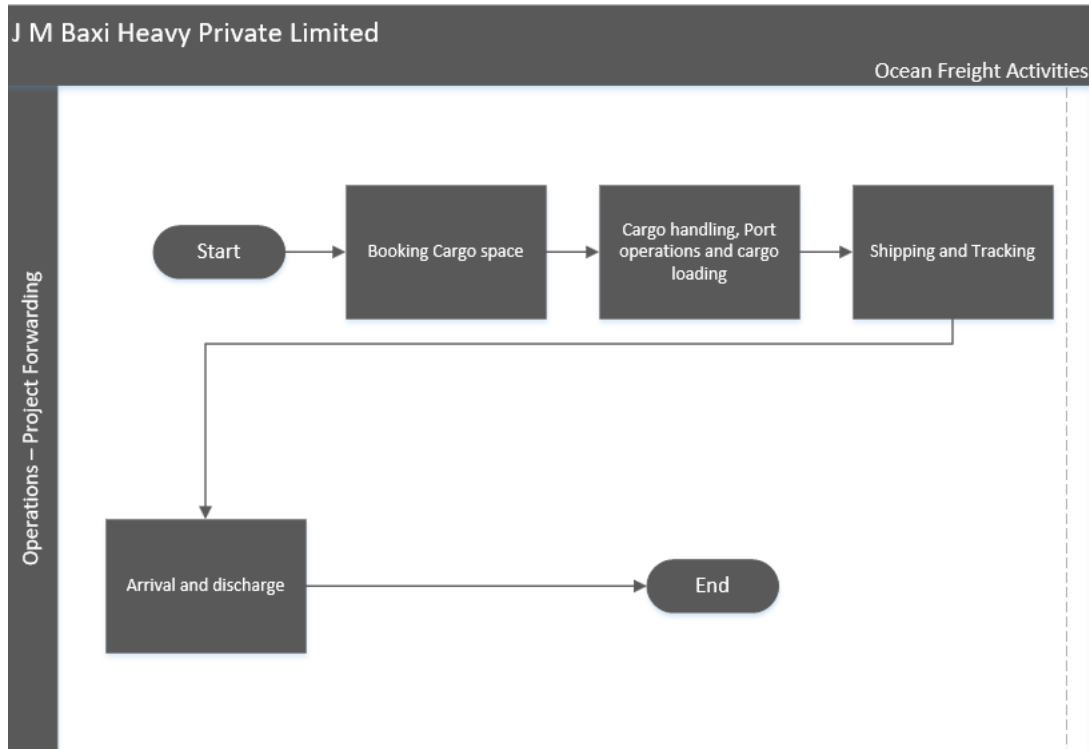
Description	Responsibility	Accountability	Frequency	Manual/System
1.1 Cargo Assessment and classification Sales Head evaluates the cargo to determine whether it qualifies as breakbulk, project cargo, or general cargo and determine the specific requirements based on size, weight (e.g., heavy lift)	Sales Head	Business Head – PF	As and when	Manual
1.2 Route Analysis Sales Head to take the analysis of the optimal route considering time, cost, regulations, and environmental factors as highlighted by the external agency from the pricing and Operations Head / Team. In case of ocean freight, Sales Head considers port availability, weather conditions, and transit time whereas in case of air freight, considers airport accessibility, air cargo restrictions, and international regulations as highlighted by the external agency from the pricing and Operations Head / Team.	Manager – Operations (PF)	HOD – Operations (PF)	As and when	Manual
1.3 Custom documentation and Compliance HOD – Operations (PF) identifies which country-specific certificates (such as BSC, ECTN, FERI, etc.) are mandatory based on the destination and also determines the authorized agencies in India responsible for issuing these certificates and guide the team on the necessary procedures and supporting documents required for obtaining them.	Manager – Operations (PF)	HOD – Operations (PF)	As and when	Manual

Key Performance Indicators (KPI's)

Attribute	Objective	Base Line	Target	Action Plan
Cargo Feasibility Timeliness	Ensure quick evaluation of cargo to analyze the feasibility to maintain operational timelines.	XX	XX	XX
Alternative Route Identification	Ensure flexibility in route planning, especially in case of unforeseen roadblocks.	XX	XX	XX
Route Safety and Risk Assessment	Ensure that safety and risk factors are evaluated to minimize disruptions during transport.	XX	XX	XX
Regulatory Compliance Completion Rate	Ensure that all necessary approvals are obtained without any delays or issues.	XX	XX	XX

2. Ocean Freight Activities

Process Flow



Process Narrative

Description	Responsibility	Accountability	Frequency	Manual/ System
2.1 Booking Cargo space Manager – Operations (PF) ensures that for standard cargo, external agency booked the container space with the relevant shipping lines whereas for breakbulk cargo or oversized cargo, coordinated with shipping companies that specialize in such freight.	Manager - Operations	Sales Head	As and when	Manual
2.2 Cargo handling, Port operations and cargo loading Manager – Operations to ensure that external agency has properly packed and crated the cargo for safe seaworthy transport particularly for breakbulk or heavy cargo considering provision of necessary lifting and lashing facility enable handled by suitable lifting equipment at all handling points.	Manager - Operations	Sales Head	As and when	Manual
2.3 Shipping and Tracking External agency shares the DSR as per the status of marine traffic to Manager – Operations who shares the same with the respective client.	Manager - Operations	-	As and when	Manual
2.4 Arrival and discharge Manager – Operations ensures that the post-shipment documents are submitted in advance by the external agency to the port authorities, and relevant agencies, and the necessary green Light is obtained to initiate the clearance process as soon as the vessel arrives. Following are the documents that needs to be submitted in advance to the port authorities and relevant agencies: a) Bill of Lading (B/L) which serves	Manager - Operations	Sales Head	As and when	Manual

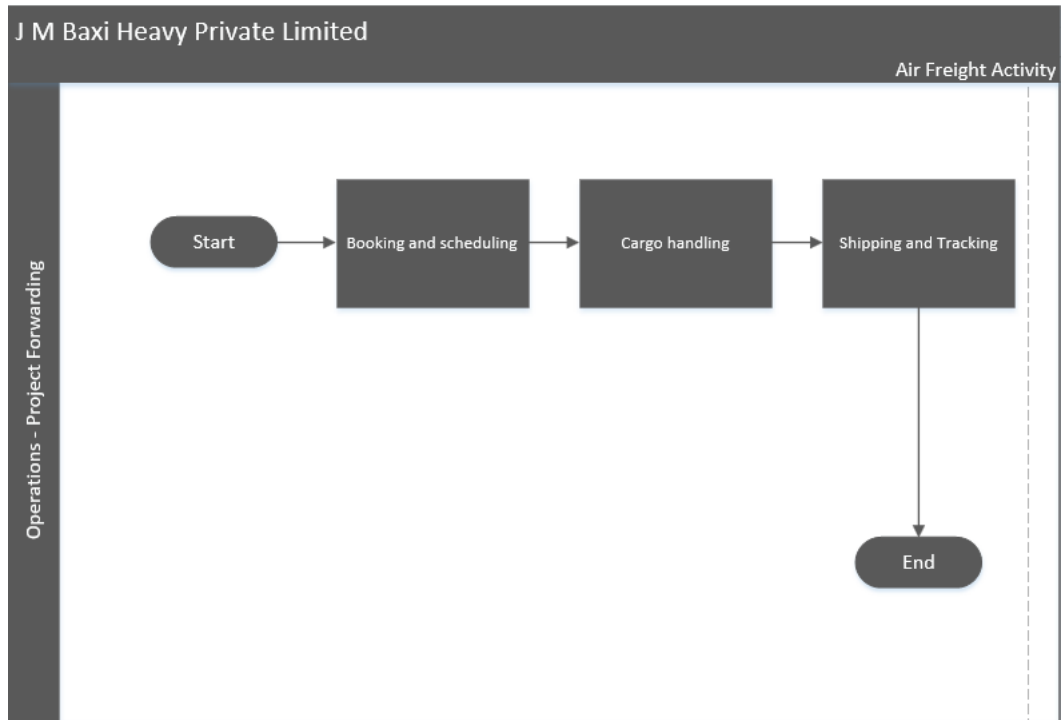
<p>as a contract of carriage, receipt of goods, and title of goods which can be in the form of Sea Waybill.</p> <p>b) Commercial Invoice which declares the value of goods for Custom valuation.</p> <p>c) Import / Export declarations.</p> <p>d) Certificate of Origin</p> <p>e) Freight payment proof</p> <p>f) Delivery order</p> <p>g) ECTN, BSC, FERI in case of West African ports</p> <p>h) Import License / Permits (wherever applicable)</p>				
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Key Performance Indicators (KPI's)

Attribute	Objective	Base Line	Target	Action Plan
Berth Productivity	Increase throughput by improving crane and labor efficiency.	XX	XX	XX
Ship Turnaround time	Minimize time through efficient berthing, unloading, and loading	XX	XX	XX

3. Air Freight activity

Process Flow



Process Narrative

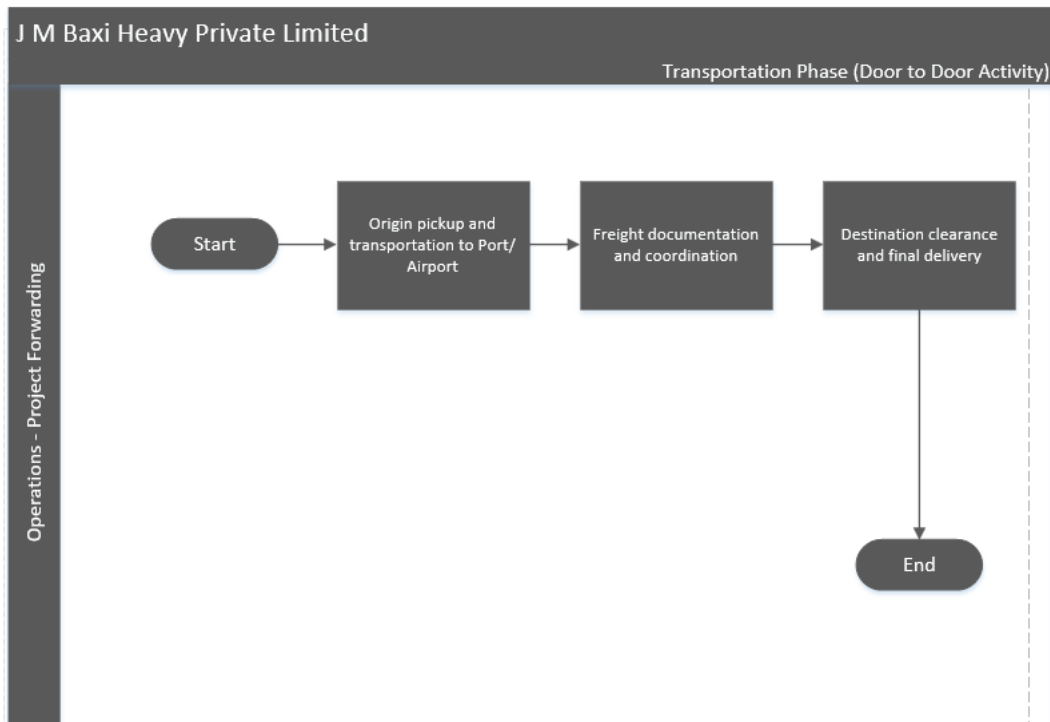
Description	Responsibility	Accountability	Frequency	Manual/System
3.1 Booking and scheduling Manager – Operations ensures that external agency booked air freight space with cargo airlines and necessary clearance for larger shipments in case of oversized cargo.	Manager - Operation	-	As and when	Manual
3.2 Cargo Handling Manager – Operations ensure that external agency properly packed and loaded the cargo onto the aircraft for safe transport particularly for heavy and over dimension cargo by using appropriate specialized equipment.	Manager - Operation	-	As and when	Manual
3.3 Shipping and Tracking External agency shares the DSR as per the status of air traffic to Manager – Operations who shares the same with the respective client.	Manager - Operations		As and when	Manual

Key Performance Indicators (KPI's)

Attribute	Objective	Base Line	Target	Action Plan
Equipment Utilization Rate	Ensure that equipment is used optimally for cargo handling operations.	XX	XX	XX
Cargo Securing Accuracy	Ensure that all cargo is properly secured to prevent shifting during transport.	XX	XX	XX
Cargo Damage During Transport	Ensure that cargo is securely fastened to prevent damage during transportation.	XX	XX	XX

4. Transportation Phase (Door to Door activity)

Process Flow



Process Narrative

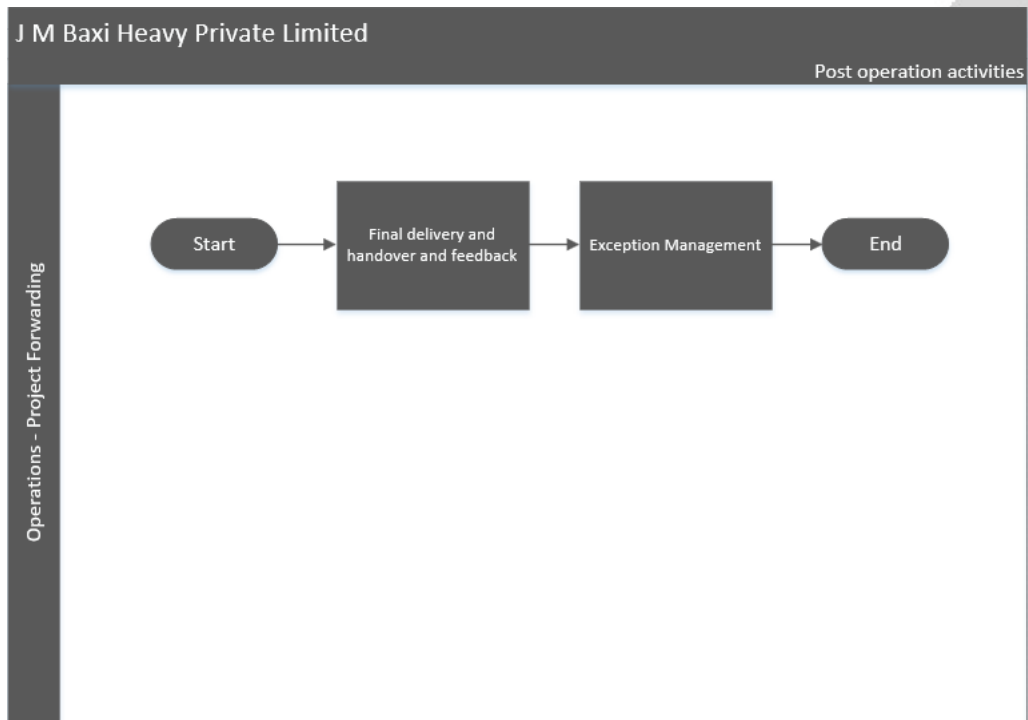
Description	Responsibility	Accountability	Frequency	Manual / System
4.1 Origin Pickup and Transportation to Port/Airport External agency manages the transportation of cargo from the door of the shipper to the seaport or airport and vice – versa and will share the DSR over email to the Manager – Operations and then Manager – Operations will share the same with the client.	Manager - Operations	-	As and when	Manual / System
4.2 Freight documentation and coordination Manager – Operations ensures that all necessary paperwork filed by the External agency is in place for both sea and air freight, including import/export documentation, customs declarations, and insurance.	Manager - Operations	-	As and when	Manual
4.3 Destination clearance and final delivery Manager – Operations ensures that external agency performs the following activities: <ul style="list-style-type: none"> a) oversee customs clearance and any other legal requirements upon arrival at the destination port or airport, b) Once cleared, arrange for the cargo to be transported to the final destination (the "door" of the consignee). 				

Key Performance Indicators (KPI's)

Attribute	Objective	Base Line	Target	Action Plan
Update Frequency	Ensure continuous communication between the transportation team and Manager - Operations to avoid gaps in tracking.	XX	XX	XX
Support Response Time	Minimize response times to issues to avoid delays.	XX	XX	XX
Incident Reporting and Resolution Time	Ensure that any issues identified during the safety checks are handled promptly, minimizing operational disruption.	XX	XX	XX
Compliance with Safety Standards	Ensure that all operations follow safety protocols and are in full compliance with safety standards.	XX	XX	XX

5. Post – Operation activities

Process Flow



Process Narrative

Description	Responsibility	Accountability	Frequency	Manual / System
5.1 Final delivery and handover and feedback Sales Head ensures that the delivery is completed by the external agency without any disruption except any exceptional circumstances and the client is satisfied with the service and collects feedback from clients to evaluate the service and identify areas for improvement.	Sales Head	Business Head - PF	As and when	Manual
5.2 Exception Management Sales Head Quickly address any issues that arise during the shipping process (e.g., delays, customs issues, damage) to minimize the impact on the project.	Sales Head	Business Head - PF	As and when	Manual

Key Performance Indicators (KPI's)

Attribute	Objective	Base Line	Target	Action Plan
Resolution turnaround time (TAT)	Measures the time taken to address any issues that arise during shipping process.	XX	XX	XX