

J M Baxi Group

Standard Operating Procedures and Policies

Operations

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 SOPP 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 on a daily basis**.

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

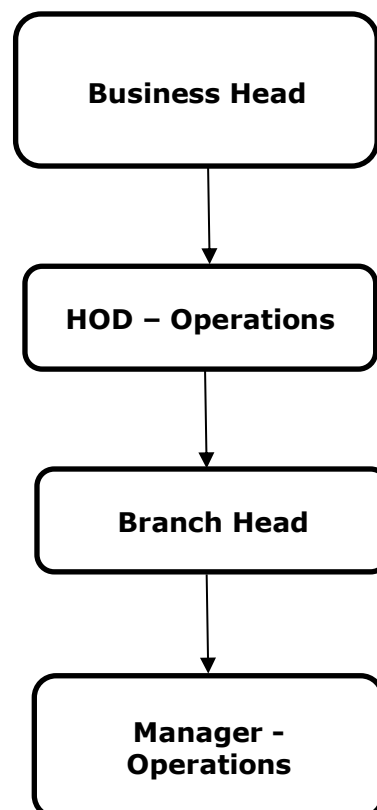
The organization structure defined in the SOPP is the structure defined at the functional level.

'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 Samir Shah		

Applicable Entities	Entity Type	Entity Name
	Bulk Logistics	JMBPL - Bulk
Process Owner		
IT Applications	Entity Name	System
	JMBPL - Bulk	SAP HANA
Guidelines / Policy reference		
SOPP Cross References		

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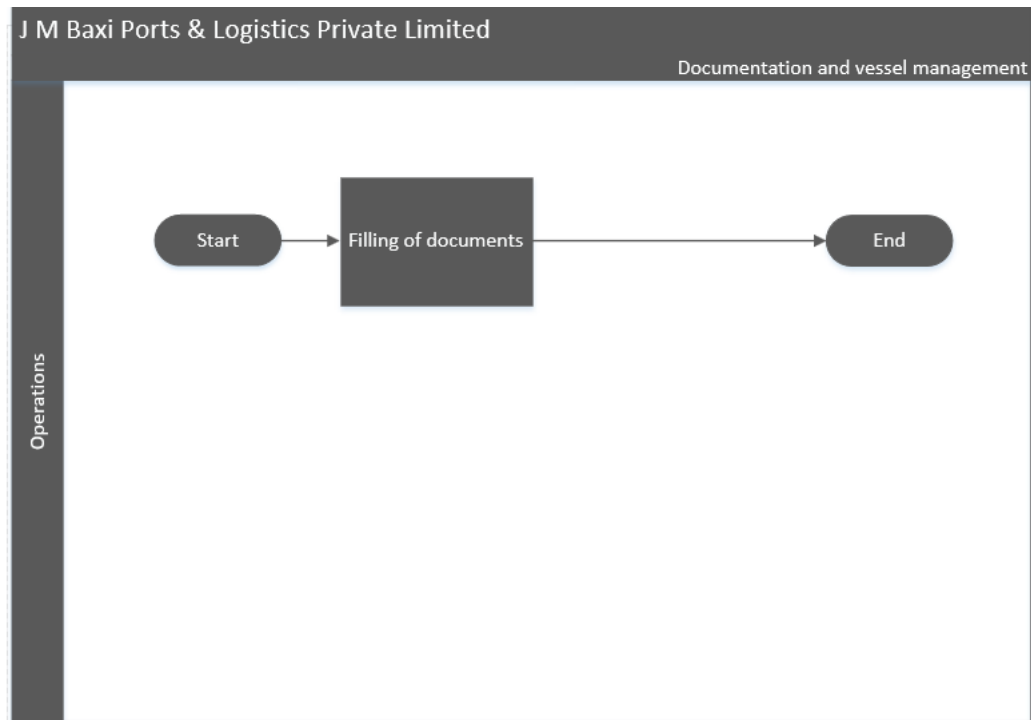
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Abbreviations and Definitions

Abbreviations	Details
LR	Lorry Receipt
DC	Delivery Challan
GST	Goods and Services Tax
CHB	Custom House Broker
BOE	Bill of Entry
BL	Bill of Lading
LUT	Letter of Undertaking
RR	Railway Receipt
PPQ	Plant Protection and Quarantine.
ETA	Estimated Time of Arrival

1. Documentation and Vessel Management

Process Flow



Process Narrative

[illegible]

warehouse outside Port where cargo are stored for export.

Manager – Operations coordinates with the designated CHB for submission of the following documents to the port and customs authorities at the time of cargo arrival into the notified area:

- a) Shipping Bill for export clearance
- b) Commercial Invoice
- c) Packing List
- d) Contract Copy with the recipient
- e) Export License (where applicable)

Manager – Operations receives these documents

- a) Delivery Challan (DC) in case of road transport and Railway receipt (RR) in case of rail transportation
- b) Analysis Report (if applicable)

from the customer via email and forwards to the designated CHB along with for filing the same with the port and customs authorities.

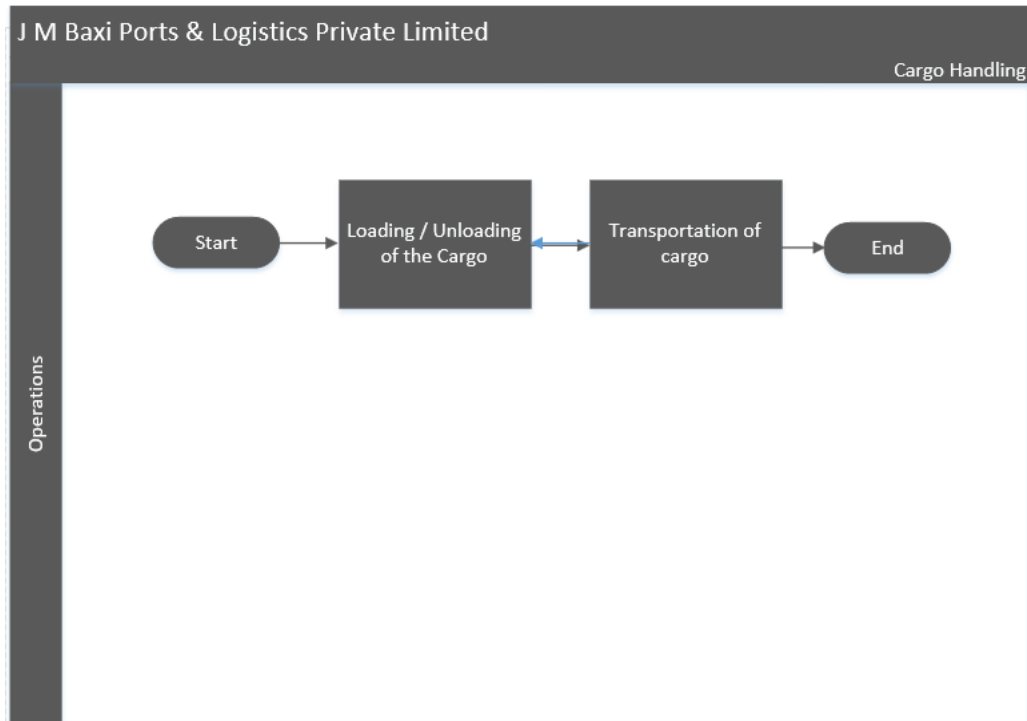
In cases where the customer delivers the cargo to the warehouse instead of the port's notified area for the exports, the Manager – Operations receives the following documents from the customer:

- a) Delivery Challan (DC) in case of road transport and Railway receipt (RR) in case of rail transportation
- b) Analysis Report (if applicable)

Manager – Operations get the details from Customer prior cargo arrival.

2. Cargo Handling

Process Flow



Process Narrative

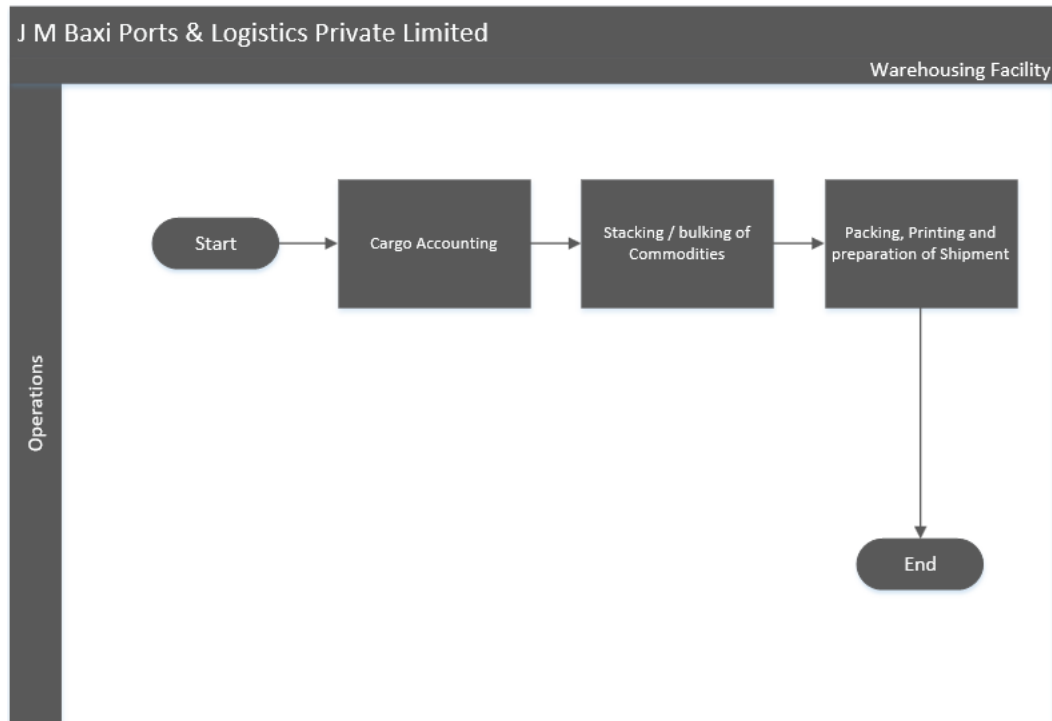
Description	Responsibility	Accountability	Frequency	Manual/ System
2.1 Loading / Unloading of the Cargo The vessel agent informs the location/branch head about the ETA of the vessel and subsequently the arrival of the vessel, based on which the cargo handling planning is made and executed by Manager Operations.	Manager – Operations	Branch Head	As and when	Manual
2.2 Transportation of the Cargo Export: For exports, there are two modes of transportation to reach the arrival port: a) through Rail and b) By road, by Truck. If the cargo is arriving via rail, it will be transported from the Railhead to the warehouse at the arrival port. However, if the cargo is coming by truck via the road route, it will be transported from the customer's location to the warehouse at the arrival port or directly to the port notified area. Import: For imports, Cargo are first stored in the nominated warehouse and value-added services such as bagging, printing and packing etc are performed based on the scope of the agreement. There are two modes of delivering the cargo from the warehouse to the Customer: a) through Rail, or b) through road by Truck In the case of rail, Manager – Operations oversee the unloading of the cargo at the	Manager – Operations	Branch Head	As and when	Manual

warehouse and the value-added services such as bagging, printing and packing of the bulk cargo as per the scope of the agreement and loading it onto the vehicle and transports it to the railhead where it is then loaded onto the rail. The responsibility ends once the cargo is loaded onto the rail.

In the case of truck transportation, Manager – Operations oversee the unloading of the cargo at the warehouse and the value-added services such as bagging, printing and packing of the bulk cargo as per the scope of the agreement and loading it onto the vehicle at the warehouse and the responsibility ends when the cargo is loaded onto the truck.

3. Warehousing Management

Process Flow



Process Narrative

Description	Responsibility	Accountability	Frequency	Manual/ System
3.1 Cargo Accounting Manager – Operations/Warehouse receives the cargo and carries out cargo accounting based on available documents, such as the weighment slip, which specifies the quantity of cargo received at the warehouse. This information is shared with the Location / Branch Head on a daily basis, who then forwards the daily report to the respective customers.	Manager - Operation	Location / Branch Head	As and when	Manual
3.2 Stacking / bulking of Commodities Manager - Operations - respective location, in consultation with the Location / Branch Head, will carry out storage optimization. This includes stacking and bulking of commodities: for bagged commodities, stacking is performed, while for loose commodities, heaping is done. Some goods may arrive in bags and be processed into bulk form, or vice versa. For fertilizers, Cargo is received in bulk form and subsequently the value additions services such as bagging will be performed prior to dispatch via rail or truck. Manager – Operations determines resources to be used for stacking or bulking at the respective location, in consultation with the Location Head, to optimize storage.	Manager - Operation	Location / Branch Head	As and when	Manual
3.3 Packing, printing and preparation for shipment Manager – Operations will oversee the required value-added services such as Packing, printing etc. The required value-added services are detailed in the Agreement.	Manager - Operation	Location / Branch Head	As and when	Manual

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