

J M Baxi Group

Standard Operating Procedures and Policies

Pre Sales to Order Closure

Introduction

A **standard operating 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**. SOPPs 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

Document review and approval

Revision history

Version	Created By	Document Approved By	Date Approved	Revision
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SOPP Number	1
Inherent risk for SOPP	High
Process Owner	Senior VP-NA
IT Applications	NA
Guidelines / Policy reference	
SOPP Cross References	
Product Group	

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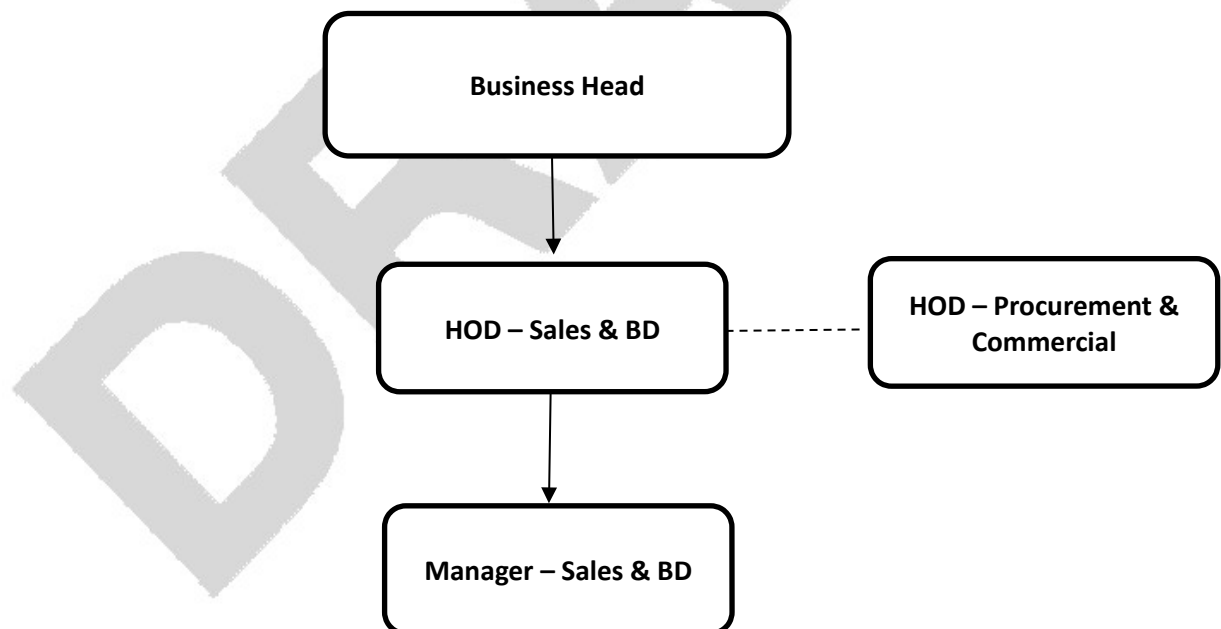
Executive Summary

A Pre Sales to Order Closure SOPP outlines the steps and guidelines an organization follows from the initial lead generation to the final closure of an order. The SOPP helps streamline processes, reduce errors, and ensures compliance with financial policies, supporting accurate Sales planning and budget tracking and accountability.

The Pre Sales To Order Closure SOPP aims to:

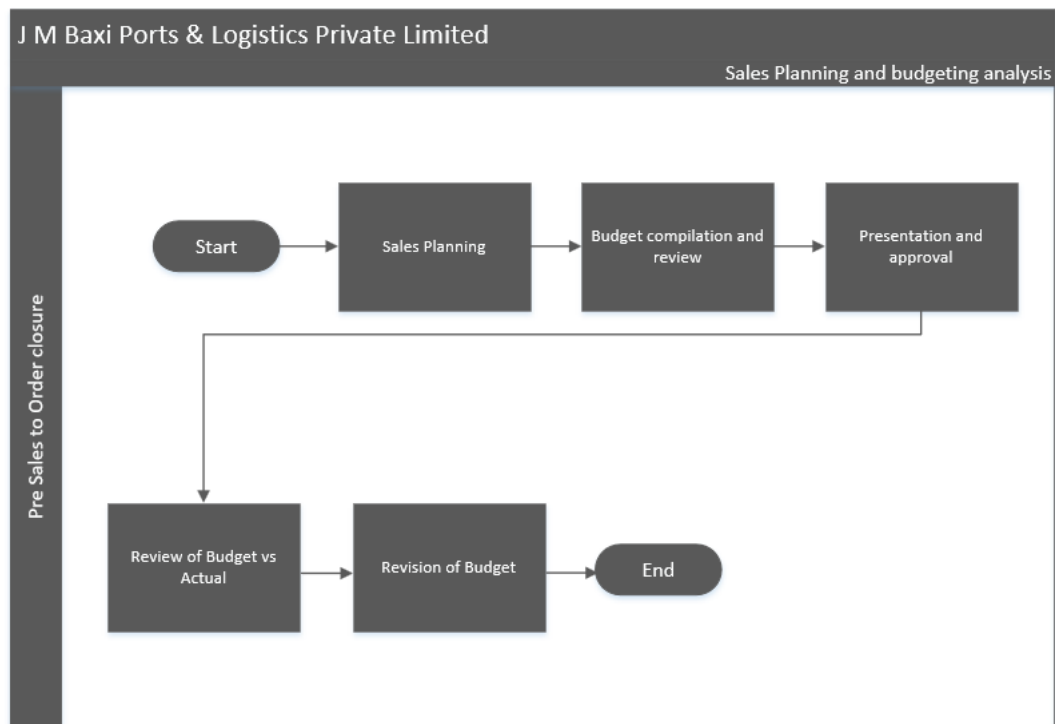
- Establish criteria for qualifying leads (e.g., budget, need, timeline).
- Outline how the qualified sales opportunities are transferred internally, from the sales team to the delivery/operations team, ensuring alignment on client needs and expectations.
- Specify all the necessary documentation (contracts, agreements, terms & conditions) required for successful order closure.
- Clarify how the pricing is confirmed and any terms (such as discounts, payment terms) are finalized.
- Explain the process of sending final order confirmation to the client and confirming receipt of payment.
- Outline the mechanism for gathering client feedback to improve the pre-sales process.
- Highlight the key metrics used to measure the efficiency and effectiveness of the pre-sales to order closure process. This could include conversion rate, time-to-close, customer satisfaction, etc.

Organization Structure:



1. Sales Planning Activity and budgeting analysis

Process Flow



Process Narrative

Description	Responsibility	Accountability	Frequency	Manual / System
1.1 Sales Planning Every year around Sept - Sales demand are forecasted through historical data review, Market industry trends and sales revenue targets are set. Based on the target's volumes are projected, HOD – Sales & BD shares the projected volume with Business Head for budget compilation (Jan - Dec)	HOD – Sales & BD	Business Head	Annual	Manual
1.2 Budget Compilation and Review Post review the same is compiled with COE and present to board for approval. Inputs suggested by the COE are discussed with the Business Head and are incorporated by the HOD -Sales & BD and shared for review. Executive - Business Finance consolidates budgets of all the entities and prepares a consolidated budget that includes entity wise volume budget along with actionable, Key highlights, Export/Import projections, service wise projections, Key strategies, summary of new prospects and opportunities.	HOD -Sales & BD and Business Head	COE	Annual	Manual
1.3 Presentation and approval Manager - Business Finance presents consolidated budget to COE and Group CFO. Group CFO then presents the consolidated budget to the Managing Director. Post approval, Managing Director presents the consolidated budget to the Board.	HOD – Business Finance	COE	Annual	Manual
1.4 Review of Budget v/s Actual Every month, management performance review and meetings are performed to track performance against sales targets and adjust forecasts and resource allocation as necessary.	HOD -Sales & BD	Business Head	Monthly	Manual

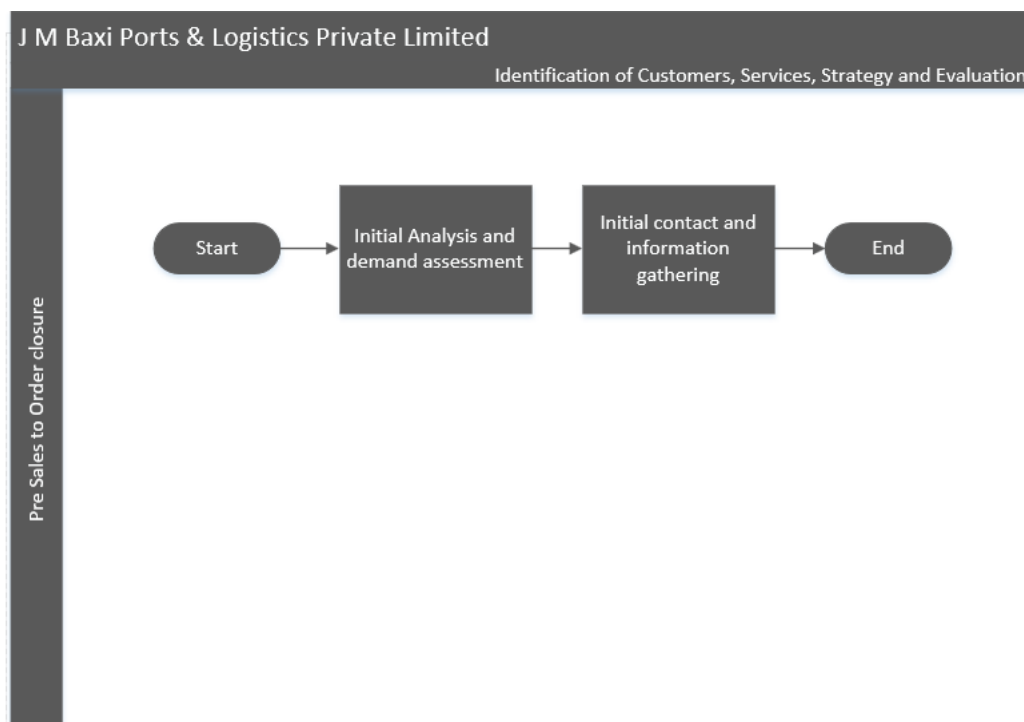
1.9 Revision of Budget If demand forecasts are lower than anticipated, based on the review, new information, or performance gaps the sales budget are re-forecasted and options are evaluated to meet the targets.	HOD -Sales & BD	Business Head	As & When	Manual
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Key Performance Indicators (KPI's)

Attribute	Objective	Base Line	Target	Action Plan
Budget Approval Timeliness	Ensure the budget is approved on time so the sales team can act promptly.	XX	XX	XX
Budget Accuracy	Ensure that the budget is accurately allocated and adhered to during the year.	XX	XX	XX
Lead Generation from Research	Ensure the market research process generates potential customers that contribute to sales.	XX	XX	XX
Sales goal completion rate	Ensure timely setting of sales goals to start the year on track.	XX	XX	XX

2. Identification of Customers, Services, Strategy and Evaluation

Process Flow



Process Narrative

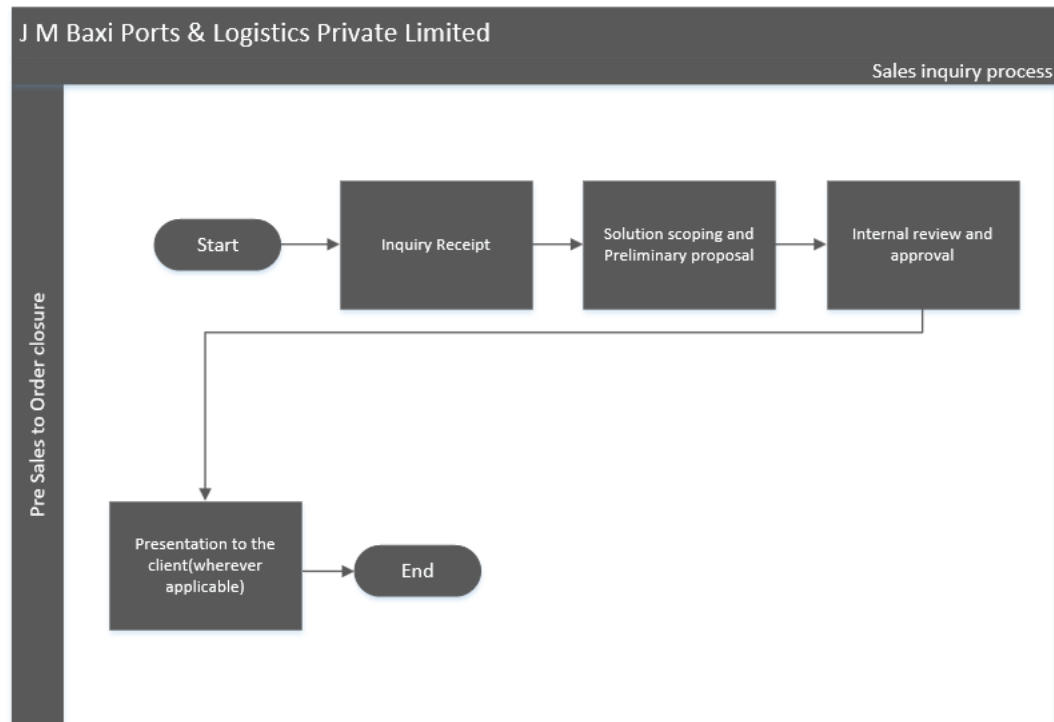
Description	Responsibility	Accountability	Frequency	Manual/System
2.1 Initial analysis and demand assessment To conduct a comprehensive market analysis, the team begins by examining the geographical landscape of the state, demand supply on land and seaside, geopolitical situation and the key industries operating within it. This includes identifying manufacturers, sourcing raw materials, and determining which products are in high demand on landscape of the state. They also assess whether these products are intended for export or the domestic market, as well as tracking any by products.	Manager - Sales & BD	HOD -Sales & BD	Annual	Manual
2.2 Initial Contact and Information Gathering Exec/Manager - Sales & BD Conducts initial meetings through Phone call, video, or in-person and gather preliminary data such as shipment volume, destinations, frequency, special requirements (temperature-controlled goods, hazardous materials, etc.) and understand key pain points or specific needs along with determining customer's budget range and timeline.	Exec/ Manager - Sales & BD	HOD -Sales & BD	As & When	Manual

Key Performance Indicators (KPI's)

Attribute	Objective	Base Line	Target	Action Plan
Response Time	Ensure prompt response times to maintain customer satisfaction and engagement.	XX	XX	XX
Response Accuracy	Ensure that responses are accurate and complete to reduce unnecessary back-and-forth.	XX	XX	XX
Follow-up Success Rate	Increase the chances of progressing the inquiry into a potential sale.	XX	XX	XX

- 1.
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3. Sales Inquiry process

Process Flow



Process Narrative

Description	Responsibility	Accountability	Frequency	Manual/System
3.1 Inquiry Receipt In case of potential customer: HOD – Sales & BD receives Sales inquiry from the new Customers over Email or phone calls. In case of existing customer: HOD – Sales & BD receives inquiries about any rate changes from existing customers via email communication. In case of Bidding, Post approval from Business Head, HOD – Sales & BD participates in Bidding process – Refer SOPP_Revenue & Receivables_Activity 1.1 to 1.4.	Manager – Sales & BD	HOD – Sales & BD	As and when	Manual
3.2 Solution Scoping and Preliminary Proposal HOD - Sales & BD defines the scope of services outlining the scope, service offerings, timeline, and pricing structure and a preliminary cost estimate based on volume, route, and the required value added service such as bagging, packing etc, and the same is sent for review to Business Head. In case of proposal in response to Notice inviting Tender(NIT), Refer SOPP_Revenue & Receivables_Activity 2.1 to 2.5.	HOD-Sales & BD	Business Head	As & When	Manual
3.3 Internal Review and Approval HOD - Sales & BD ensures that the proposed solution is viable from both a business and operational standpoint and is reviewed on phone call discussion with internal stakeholders (operations, finance, compliance, etc.) and adjust the solution based on internal feedback or concerns and obtain approval from Business Head for the proposed budget, timeline, and resources.	HOD-Sales & BD	Business Head	As & When	Manual
3.4 Presentation to the Client HOD - Sales & BD presents the proposed	HOD-Sales & BD	Business Head	As & When	Manual

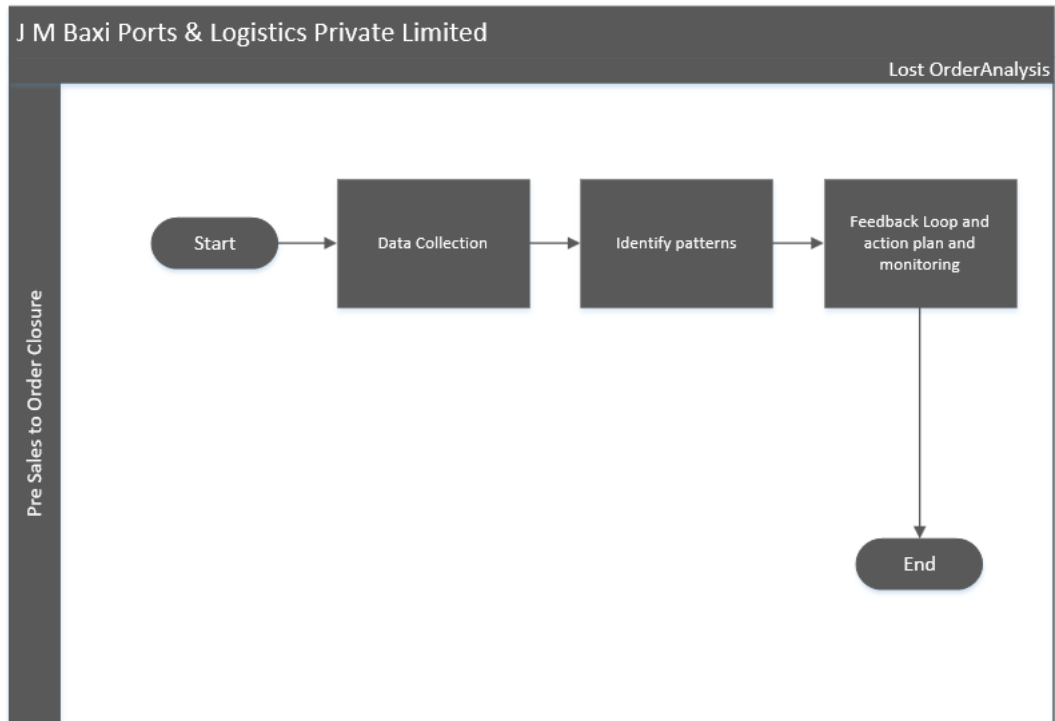
<p>solution to the customer and refine the offering and schedule a presentation with the customer that includes initial analysis, demand assessment, and proposed solution. Any client questions or concerns regarding the solution and feedback are considered and the proposal is refined further and reviewed by Business Head.</p>				
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Key Performance Indicators (KPI's)

Attribute	Objective	Base Line	Target	Action Plan
Response Time	Ensure prompt response times to maintain customer satisfaction and engagement.	XX	XX	XX
Response Accuracy	Ensure that responses are accurate and complete to reduce unnecessary back-and-forth.	XX	XX	XX
Follow-up Success Rate	Increase the chances of progressing the inquiry into a potential sale.	XX	XX	XX

4. Customer Onboarding Activity

Process Flow



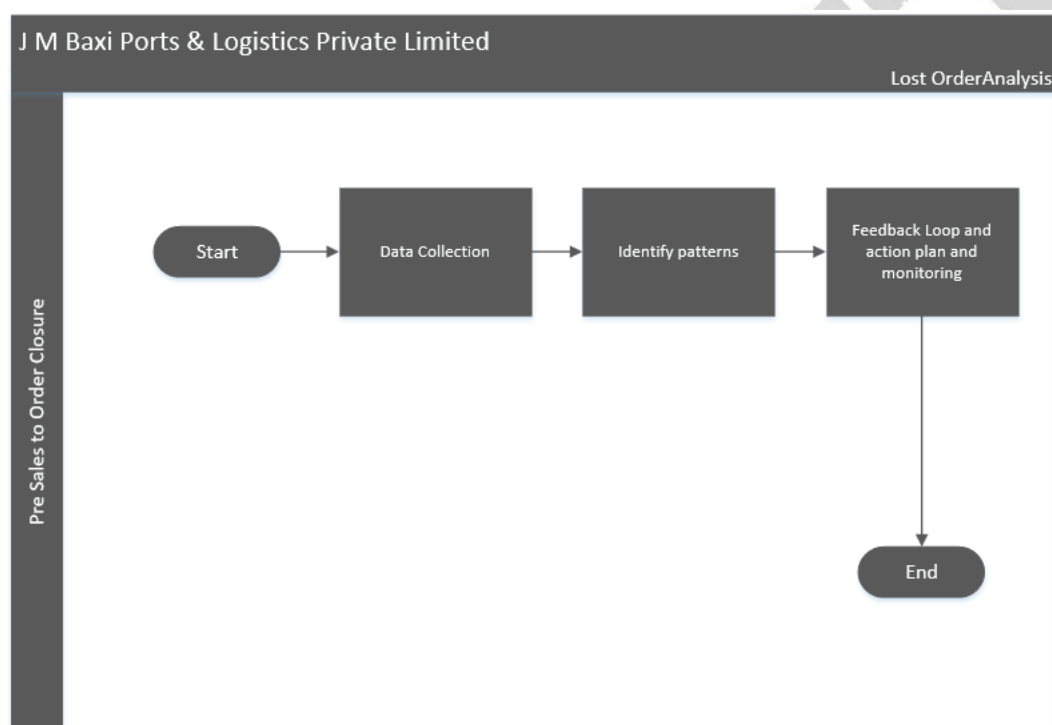
Process Narrative

Description	Responsibility	Accountability	Frequency	Manual/System
4.1 Terms of Contract Multiple rounds of negotiations (for rates, free storage period, credit period) are made with the customers before entering contract as per the above. On confirmation of both the parties, an email is sent by HOD - Sales & BD to customer to state final terms of contract.	HOD-Sales & BD	Business Head	As & When	Manual
4.2 Approval of Commercials Terms of contract (such as free storage period, payment terms, credit period and credit limit) are approved as per the DOA. <i>Refer DOA (Revenue to Receivables)</i>	HOD-Sales & BD	Business Head	As & When	Manual
4.3 Drafting of Agreement On receipt of acceptance / confirmation of orders from the Customers, formal sign-off of agreement should be done with the Customer. <i>Refer DOA (Revenue to Receivables)</i> Note: No work should be executed without agreement, deviation can be permitted only after obtaining prior approval of business head in writing. HOD – Sales & BD ensures that specified clauses [standard clause to be prepared by the company] should be included in the agreement. In case where customer does not agree to include particular clause, approval of Business Head should be obtained. HOD – Procurement & Commercial will circulate the draft agreement to HOD – Finance & Accounts for inputs with respect to direct tax, indirect tax, BG, payment terms, etc. HOD – Finance & Accounts will provide the response within 3 working days, post which the matter may be escalated to	HOD – Procurement & Commercial	Business Head	As & When	Manual

Business Head. In case of emergency the clearance from finance team should be obtained within 2 days. In case scope includes labour based activity, draft agreement should also be circulated to HR department for their inputs.				
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5. Lost order analysis

Process Flow



Process Narrative

Description	Responsibility	Accountability	Frequency	Manual/System
5.1 Data Collection Manager – Sales & BD investigates lost orders by reviewing internal records and consulting with customers or competitors to gather relevant data and shares data with HOD – Sales & BD	Manager – Sales & BD	HOD – Sales & BD	As and when	Manual
5.2 Identify Patterns HOD – Sales & BD analyzes patterns to identify the reasons behind lost orders, examining factors such as pricing, service, and competition to uncover root causes.	HOD – Sales & BD	-	As and when	Manual
5.3 Feedback Loop and Action plan and monitoring HOD – Sales & BD obtains feedback from the Customer on Lost Order to identify the reason for such Lost Order. Business Head takes feedback from HOD – Sales & BD about the Lost-order, major reason behind such Lost Order. Manager – Sales & BD prepares action plan on Lost sales order based on the feedback from HOD – Sales & BD and retains data from Lost Order investigations for future reference, allowing for ongoing review and adjustments to strategies based on historical insights	HOD – Sales & BD		As and when	Manual

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