**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 are defined are 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**

## 

**Chief Business Officer (CBO) and Chief Financial Officer (CFO)**

**Manager – Operations (PF)**

**HOD - Operations (PF)**

**Sales Head (PF)**

**Business Head (PF)**

Document review and approval

Revision history

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

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| --- | --- | --- | --- | --- | --- |
| **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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## 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 |

### Pre-Shipping Activity (Planning and coordination)

### Process Flow

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### Process Narrative

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|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Description** | **Responsibility** | **Accountability** | **Frequency** | **Manual/ System** |
| * 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 |

### Ocean Freight Activities

### Process Flow

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### 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:   1. Bill of Lading (B/L) which serves as a **contract of carriage, receipt of goods,** and **title of goods which can be in the form of Sea Waybill.** 2. Commercial Invoice which declares the value of goods for Custom valuation. 3. Import / Export declarations. 4. Certificate of Origin 5. Freight payment proof 6. Delivery order 7. ECTN, BSC, FERI in case of West African ports 8. Import License / Permits (wherever applicable) | **Manager - Operations** | **Sales Head** | **As and when** | **Manual** |

### 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 |

### Air Freight activity

### Process Flow

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### 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 |

### Transportation Phase (Door to Door activity)

### Process Flow

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### 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:   1. oversee customs clearance and any other legal requirements upon arrival at the destination port or airport, 2. 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 |

### Post – Operation activities

### Process Flow

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### Process Narrative

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| --- | --- | --- | --- | --- |
| **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 |