**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 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

Document review and approval

Revision history

| **Version** | **Created By** | **Document Approved By** | **Date Approved** | **Revision** |
| --- | --- | --- | --- | --- |
|  |  | Mr Vaibhav Agarwal |  |  |

| **SOPP Number** | 1 |
| --- | --- |
| **Inherent risk for SOPP** | High |
| **Process Owner** | Senior VP |
| **IT Applications** |  |
| **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 panning 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:

**Business Head**

**HOD – Sales & BD**

**Manager – Sales & BD**

### Sales Planning Activity and budgeting analysis

### Process Flow

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### Process Narrative

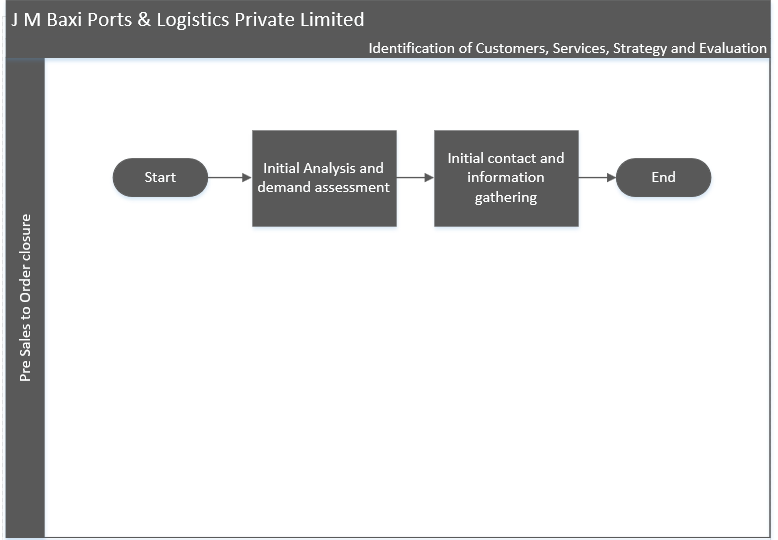
|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Description** | **Responsibility** | **Accountability** | **Frequency** | **Manual/ System** |
| **1.1 Sales Planning**  Every year around Sept - Sales demand are forecasted through historical data review, Market industry trends and sales revenue targets 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, 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** |

### 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**

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**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 and supply, 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. | **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 container volume, frequency, special requirements (temperature-controlled goods 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 |



### Sales Inquiry process

### Process Flow

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### Process Narrative

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| --- | --- | --- | --- | --- |
| **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. | **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, and the required value-added service such as bagging, packing etc, and the same is sent for review to Business Head. | **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 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. | **HOD-Sales & BD** | **Business Head** | **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 |

### Customer Onboarding Activity

### Process Flow

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### Process Narrative

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| --- | --- | --- | --- | --- |
| **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.  *Refer DOA (Revenue to Receivables)* | **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.  *Refer DOA (Revenue to Receivables)*  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 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 Business Head. In case of emergency the clearance from finance team should be obtained within 2 days. In case scope includes labor-based activity, draft agreement should also be circulated to HR department for their inputs. | **HOD – Procurement & Commercial** | **Business Head** | **As & When** | **Manual** |

### 5. Lost order analysis

### Process Flow

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### Process Narrative

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