

PUNCH LIST MANAGEMENT PROCEDURE FOR PUBLIC TRANSPORT PROJECTS

1. Purpose

This procedure defines the preparation and management requirements for public transport project Punch Lists and the process to be followed for clearing the outstanding items from the lists up to and post-handover.

2. Scope

A Punch List is a list of tasks that need to be completed by a contractor to satisfy the terms of a construction contract and also identifies those items that must be completed prior to handover. It details incomplete works, outstanding action items or process deficiencies raised during the design, construction, inspection, testing and commissioning of works for a project. It also serves to record any decisions that allow outstanding items to be safely carried over and completed in the immediate post-handover period.

The Punch List has a different focus to that of the Defects List. The Defects List commences at the start of construction and progresses through the works and beyond handover to its ultimate conclusion at the end of the Defects Liability Period. The Punch List is aimed at ensuring that all outstanding safety, operational and process issues are addressed to enable handover for public transport operations; where defects are relevant to this aim they should be included on the Punch List.

This procedure is applicable to all DPTI public transport projects.

3. Supporting Information

3.1. Related Documents

DOCUMENT NAME	DOCUMENT NUMBER
Asset Management Technical Data Requirements Specification.	PTS-MS-05-AM-PRS-0000091

3.2. References

- *Rail Safety National Law (South Australia) Act 2012*

3.3. Definitions

TERM	DEFINITION
Punch List	A list containing details of outstanding action items, incomplete works, deficiencies in quality or process, failure to deliver documents etc. for a project and identifying those responsible for remedying the items, the planned remediation date and the classification of the items. The Punch List may include defects where these have the potential to impact on handover for public transport operations.
Defects List	A list of defects, damage, faults or breakages for a project. These are usually physical in nature and do not include deficiencies in process or failure to deliver documents etc. The Defects List commences at the start of construction and should conclude at the end of the Defects Liability Period.
Database	An electronic file which records the Punch List item details

3.4. Document Amendment Record

REV	CHANGE DESCRIPTION	DATE	COMMENTS
1	Original Version	26/03/2018	
Document Review Schedule:		This procedure is due for review every three (3) required.	

4. Roles and Responsibilities

4.1. Project Manager/ Person Responsible for the Work

The Project Manager/Person Responsible for the Work shall:

- Ensure the Contractor establishes a Punch List database in accordance with DPTI requirements.
- Ensure the Contractor appoints a Punch List Administrator responsible for managing the Punch List database.
- Review the Punch List Items requested by Identifiers/Stakeholders and forward to the Punch List Administrator for inclusion on the Punch List.

4.2. Contractor

The Contractor shall arrange for:

- Implementing and maintaining the Punch List database.
- Appointment of a Punch List Administrator.
- Rectification of Punch List items by the allocated target date.
- Regular Punch List review meetings to be held during the final phases of each portion of work and/or final handover.

4.3. Punch List Administrator

The Punch List Administrator is responsible for:

- Managing the Punch List database.
- Updating the Punch List database on a regular basis from information provided by Identifiers/Stakeholders and Rectifiers.
- Generating Punch List reports as required.

4.4. Identifier/Stakeholders/relevant DPTI Infrastructure Staff

All Identifiers/Stakeholders are responsible for ensuring:

- All incomplete works or outstanding action items are identified and documented,
- All Punch List items identified are forwarded to the Project Manager to enable the items to be added to the Punch list.

4.5. Rectifier

The Rectifier is responsible for:

- Rectification and close out of a Punch List item.
- Advising the Punch List Administrator of the rectification and close out of the Punch List item.

5. Procedure

5.1. Identification of Punch List Items

The Punch List is generated progressively and contains details of outstanding items to be completed that includes but is not limited to:

- a) Incomplete installation
- b) Pending modifications for field changes
- c) Temporary alterations or devices
- d) Missing documents or certificates
- e) Temporary labelling
- f) Deficiencies in quality or process

The Punch List items may be identified from the following sources that includes but is not limited to:

- a) Test data sheets
- b) Test logs
- c) Site inspection reports
- d) Outstanding site queries
- e) Open NCR's

- f) Corrective action requests
- g) Observation database reports
- h) Surveillance visits
- i) Audit findings and recommendations
- j) Event logs

5.2. Categorisation of Punch List Items

Items on the Punch List shall be categorised as follows:

- **Category A** - Items that are of a safety critical nature and prevent final handover; or, for a staged testing and commissioning, prevent the next portion of work from proceeding.
- **Category B** - Items that can be closed out during the next portion of work of a multiple commissioning sequence but must be closed out prior to final handover.
- **Category C** - Items that can be closed out after final handover. *Note: Category C items shall be still acted on and closed out.*

5.3. Adding an Item to the Punch List

Any Identifier/Stakeholder can request the addition of a Punch List item to the Punch List. This request can be raised at a Punch List Review meeting (refer section 5.4) or through an email/letter forwarded to the Project Manager. The Contractor shall be cc'ed into the advice email/letter. The Project Manager will review the Punch List item and forward the request to the Punch List Administrator. Where the inclusion of a requested Punch List item is in doubt it shall be referred to the Punch List Review meeting for discussion and resolution.

The following table provides a guide to the details that are to be included in a request for addition of a Punch List item to the Punch List:

GROUPING	INPUT	INPUT DESCRIPTION
Punch List Details	Project Title	The project for which the Punch List has been developed
	Project Manager	The DPTI person responsible for the project
	Raised by	The name and position of the Identifier/Stakeholder identifying and raising the Punch List item
	Date	The date the Punch List item was identified
Description	Description	A description of the Punch List item including any reference documentation
Category		Assigned category A, B, C (see Section 5.2)
Location Details	Location Name	the location of the Punch List item i.e. station, level crossing, pole etc.
	Start km	Actual start kilometrage
	End km	Actual end kilometrage (this can be the same as the start kilometrage for point assets such as a bridge, location case etc.
Item Details	Work Discipline	Track/Civil/Signalling/OHW etc.
	NCR/ Observation Reference	Reference of any NCR or observation identified through audit.
	Cause	Likely cause of the outstanding item
	Supplier/ sub-contractor/ Manufacturer	Name of Supplier/ sub-contractor/ manufacturer
Target Date	Target date for rectification	Initially will be an estimated date for rectification but date will be agreed and updated by agreement at the next review meeting

The Punch List Administrator shall record all Punch List items in the database and generate reports to detail status and progress.

5.4. Punch List Review

Punch List review meetings shall be held at regular intervals. The minimum quorum shall include representation from the Project team, the Contractor and Rail Infrastructure Management.

Once a project is within two weeks of Handover, all Category A items relating to a portion of work or final handover should be closed. If this is not the case, the Punch List should be reviewed to determine if items can be re-categorised on the basis that sufficient rectification has occurred; if this is not possible the portion of work handover or final handover shall be re-scheduled until all Category A items can be cleared.

The meeting should review Punch List items for the handover of an upcoming portion of work or for final handover. To support the review meeting, the Contractor will provide from the Punch List Database, the latest report of open Punch List items that have been targeted for closure. This report will be updated by the review team and signed off at the conclusion of the meeting by all attendees.

5.5. Punch List Clearance

The responsible person/team, known as the Rectifier, should carry out the rectifications in line with the agreed target date. Any time constraints related to the clearance of each of these items will be indicated according to the defined categorisation A, B or C.

Upon rectification of each outstanding item, the Rectifier shall advise the Punch List Administrator either at a Punch List Review meeting or by email/letter. The Contractor and Project Manager shall be cc'ed into the advice email/letter.

5.6. Punch List Database

The management of the database application by the Punch List Administrator will assure monitoring and progress for clearing items on the Punch List. This database will be provided by the Project Manager and will contain as a minimum the following column headings:

- Raised by
- Date raised/identified
- Description
- Category (A,B,C)
- Site Location (including start and end kilometres)
- Cause
- Assigned Rectifier
- Target Date
- Closed by
- Date Closed
- Current status
- Additional Comments

The final Punch List must be presented as an Excel spreadsheet in accordance with PTS-MS-05-AM-PRS-00000091 *Asset Management Technical Data Requirements Specification*.

5.7. Punch List Reports

Punch List Reports are the output from the Punch List database. The status reports shall be in a format that enables sorting by any combination of the database fields.