

# Estates Services Compliance



Minor capital works projects

Guidance for departments



# Version control

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## Reasons for revision:

Original issue

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# 1. Introduction to minor capital works projects

## 1.1 What are minor capital works projects?

'Minor capital works projects' is a term that combines 'minor' and 'capital works'. Taken from the Building and Estates Sub-Committee (BESC) Standing Orders, the following definitions apply:

'**Capital works**' – Capital works include extension to or alteration of an existing building, construction of a new building, and refurbishment and maintenance works that increase or preserve the capital value of a building or facility. '**Minor works**' – projects with a value of less than £100K. sMinor capital works projects are therefore projects that meet both of these definitions.

## 1.2 Who this guidance is for

This guidance document is for those departments that wish to manage minor capital works projects, and details the process for obtaining authorisation to do so.

## 1.3 The BESC Standing Orders

The Standing Orders set out the responsibilities of Estates Services and departments (called 'units') within the functional estate, and within the space that unit has been allocated. They are set by the Building and Estates Sub-Committee (BESC), a subcommittee of PRAC.

The Standing Orders permit departments to manage minor capital works projects provided authorisation is obtained from the Director of Estates. The conditions that need to be met to obtain this authorisation are set out in section 1.4.2 of the Standing Orders. See <https://estates.admin.ox.ac.uk/standing-orders> for details of these conditions. Other relevant Standing Orders sections include 1.4; 3.3; 4.1.6 and 4.2.

## 1.4 The role of Estates Services – MCWP opt-in and project approval

In order to ensure the conditions set out in the Standing Orders 1.4.2 have been met, a process has been designed to allow departments to share relevant project information with Estates Services to be reviewed by relevant stakeholders and approved, or queried if required.

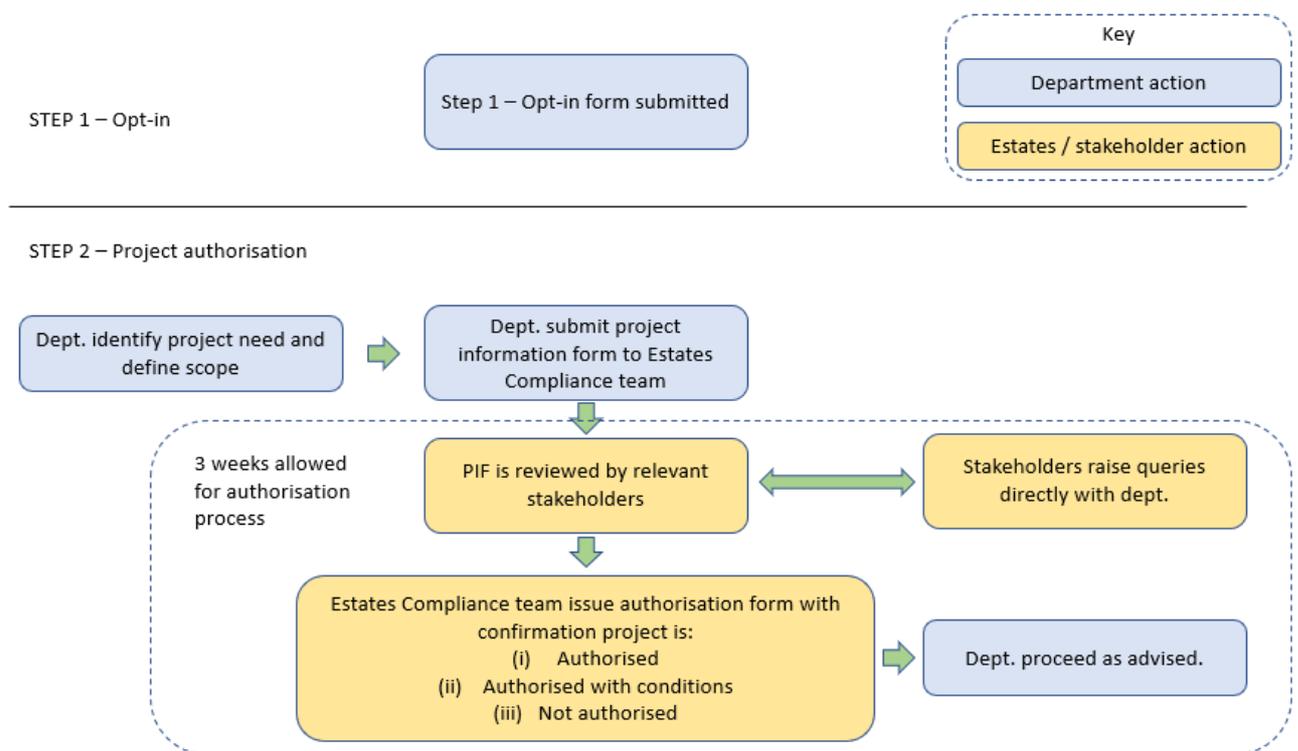
## 1.5 Notable points

- 1) Departments are permitted to undertake minor capital works projects **only** if they follow this process.
- 2) Departments must **opt in annually**, and **submit a project information form** for each individual MCWP.
- 3) Projects must be and remain **below £100K ex VAT**. Departments are not insured to manage projects above this value. A project must not be split up into smaller projects of below £100K each.
- 4) Departments that have opted in can **use the Preferred Suppliers under the Small Works Framework**, which has been set up to service projects of this value.

## 2. What departments need to do

### 2.1 Minor capital works process – stages and flowchart

The approvals process is split into two stages: 1. the annual 'opt-in' and 2. the authorisation process for individual projects. The flowchart below details these stages and the steps in each.



## 2.2 Step 1 - Opt-in

Departments wishing to manage minor works must opt in annually for each financial year. The Head of Department signs to confirm the department acknowledges the conditions set out by the Standing Orders, and that the staff managing minor works projects are competent to do so.

Process:

- Complete the form and have the Head of Department sign it – a digital signature or name is fine. This is available at <https://estates.admin.ox.ac.uk/departmental-works> (see image below)
- Submit form to [estates.compliance@admin.ox.ac.uk](mailto:estates.compliance@admin.ox.ac.uk)
- Repeat annually at the end of July (close of University financial year), or on change of Head of Department.

### Step 1 - Opt In (confirming the intent to undertake minor capital projects)

Departments have to opt in to manage MCWP on an annual basis, by completing and [submitting the form](#). By opting in, a department is confirming it can meet all University and statutory obligations in the management of construction work, and that staff managing the work are competent to do so.

### Step 2 – Obtain permission for each project from Estates Services by filling in a Project Information Form

Each individual project must be authorised by the Director of Estates before it can proceed. This is achieved by completing a

### Contact us

Estates Services Compliance Team:  
[estates.compliance@admin.ox.ac.uk](mailto:estates.compliance@admin.ox.ac.uk)

### Step 1 - Opt in

DOWNLOAD >

*Figure 1 – where to find opt in form on the Estates Services web page on departmental works*

## 2.3 Individual project authorisation process

Each individual MCWP must be authorised to proceed by Estates Services. This is obtained by providing project information to relevant stakeholders via the process outlined below.

### 1. Department identifies project need and scope

Department identify the **need for a project** and its **likely scope**. The scope should be sufficiently defined that there is a clear understanding of the project's **effect on the building**.



### 2. Department submits Project Information Form

Found at <https://estates.admin.ox.ac.uk/departmental-works>

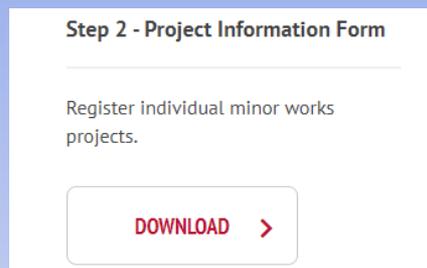


Figure 2 - PIF location on departmental works web page

Points to note when completing the form:

- The form uses yes / no prompts to determine stakeholders that may be affected and that will review the information submitted.
- Where 'Yes' is checked, supporting information needs to be added in the free text box. This is the information that will be reviewed.
- Attachments can be loaded at the end of the form. This is limited to 10 documents with a maximum individual file size of 20mb.
- The person submitting the form is the 'Works Requestor' and will be the primary contact for any stakeholder queries.



### 3. Estates Services Compliance team distribute to relevant stakeholders for review

- Based on 'yes' checks on the Planon form, we will distribute the information submitted to relevant stakeholders. See Appendix 1 for details of which stakeholders are contacted for which question on the form.
- The Compliance team will triage the information– if we think additional information is required, we will get in contact with the Works Requestor to seek this before distributing to stakeholders.



### 4. Stakeholders review the submitted information

- The stakeholders who receive the information are provided a date 15 working days from the date the form is submitted, by which time they are asked to review the information and raise any queries directly with the works requestor.
- Stakeholders may agree specific conditions with the department on which authorisation is dependent. These will be detailed on the Project Authorisation Form.
- If satisfied with the information received, the stakeholder will reply to Compliance with 'project authorised' or 'project authorised with conditions'.
- If there are concerns raised that prevent the project from going ahead, the stakeholder will reply with 'project not authorised'.



### 5. Compliance collate responses and return to Works Requestor

The Compliance team will issue the Project Authorisation Form to the department, showing the permission status, stakeholders contacted and any agreed conditions.

<b>Status following review</b>	<b>AUTHORISED</b> <b>AUTHORISED WITH CONDITIONS</b> <b>NOT AUTHORISED</b>
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## 2.4 Using the Small Works Framework

Once they have opted in, departments have access to the Small Works Framework. This is a framework contract for three Preferred Suppliers, specifically put in place to undertake construction work up to a value of around £100K.

Further details on this framework, including the contractors on it and how to engage with it, can be found here: <https://finance.admin.ox.ac.uk/estates-and-buildings>

Benefits of using the Small Works Framework:

- Assurance that the contractor selected is competent, has been assessed through the framework tender process and will represent value for money for the University.
- The requirements of the *Construction, Design and Management Regulations 2015* are built into the contract. The contractor will act as the Principal Contractor under these Regs, and the Principal Designer (unless this role is taken by another party). Note – the University will still have Client duties under CDM even when the contractor acts as the PD.
- Assurance that an appropriate contract is in place between the University and contractor, signed by the Director of Estates, with which departments can place a call-off order.

# Appendices

## Appendix 1 – Key contacts and stakeholders

### Key contacts:

The MCWP process is managed by the Estates Services Compliance team. For all general enquiries please contact:

[estates.compliance@admin.ox.ac.uk](mailto:estates.compliance@admin.ox.ac.uk)



**George Bennett**  
Compliance Team Leader

E: [george.bennett@admin.ox.ac.uk](mailto:george.bennett@admin.ox.ac.uk)

### Relevant stakeholders:

Stakeholders are contacted based on the information submitted on the PIF.

<b>Estates Services</b>	
Compliance team	CDM; asbestos; fire protection systems
Electrical team	Electrical systems
Mechanical team & DLO	Mechanical systems (HVAC; water systems; drainage and plumbing)
Conservation & Buildings	Heritage; planning; layout; building considerations
Sustainability	Alignment with University sustainability strategy
Information & Space Management	Space information (space codes; layout)
<b>University Safety Office</b>	
University Fire Officer	Impact on building fire safety
Safety Officers	Construction or alteration of laboratories; impact on CL3 containment
<b>University Purchasing</b>	
	Procurement route
<b>University Insurance Office</b>	
	For information and review

## Appendix 2 – Competency and training guide

Opting in to self-manage construction projects requires that staff managing the work and any contractors are competent to do so.

Competence is the “combination of training, skills, experience and knowledge that a person has and their ability to apply them to perform tasks safely.” (HSE website). Departments are responsible for making sure those managing construction works are competent to do so. Construction work is a high-risk activity, not only the work itself but through unintentional effects on building safety. There are many applicable UK Regulations that must be considered, and obligations met, particularly CDM15.

The training courses listed below are provided by the University and should be attended by any staff managing minor capital works projects:

- Asbestos awareness
- CDM awareness
- Fire risk assessment
- Guide to small works framework (delivered by UPD)

### Resources

Course management through CoSy:

<https://skills.it.ox.ac.uk/cosy>

*Access to training courses detailed above*

### HSE

<https://www.hse.gov.uk/index.htm>

*Relevant legislation and associated codes of practice and guidance, particularly CDM and Control of Asbestos Regs.*

### Estates Services Asbestos Management

<https://estates.admin.ox.ac.uk/asbestos>

*University asbestos management; how to access the asbestos register and commission asbestos surveys.*

For any queries around competence and training for managing construction work, please contact

[estates.compliance@admin.ox.ac.uk](mailto:estates.compliance@admin.ox.ac.uk).

Estates Services  
Compliance

E: [estates.compliance@admin.ox.ac.uk](mailto:estates.compliance@admin.ox.ac.uk)  
<https://estates.admin.ox.ac.uk/>

