Minor Works and Capital Works/Equipment SOP

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2025/2026 onwards

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January 2026

Responsible Owner:
Head of Estates, Facilities and Health & Safety

Summary of Contents
This SOP details the process of requesting Estates Minor Works and the procuring of capital works including the installation of equipment.

Review Information (Responsible Owner):

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October 2016

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1.0 Change History

Changes to this SOP are documented in Appendix 1 of this document. When reading electronic copies of this document, you can click here to view the change history.

2.0 Background

2.1 This document details the process of requesting Estates Minor works (less than £3,000 including irrecoverable VAT) and also the procuring of capital works (greater than £3,000) including the supply and installation of equipment (and any Estates related infrastructure works). The role of Estates is clearly defined to ensure that Health & Safety processes are adhered to. The role of Finance is clearly defined to ensure that procurement processes are adhered to.

3.0 Scope

3.1 These procedures apply to all staff.

3.2 The Estates Unit MUST be informed of ANY proposed works that will impact upon the grounds, fabric or infrastructure of any building within the SERC Estate – including leased properties. This includes electrical, gas, heating, water, drainage or any other building system or service. Budget Holders MUST ENSURE that neither they nor any member of their staff carry out or instruct any works, without prior authorisation from the Estates Unit.

3.3 The Estates Unit must be advised of any equipment being provided on a 'supply and install' basis.

3.4 New equipment must be asset tagged as per College Asset Management SOP.

4.0 Procedure

4.1 Estates Minor Works (Value < £3,000 inclusive of irrecoverable VAT) See Appendix 2

- Budget holders can request minor estates works (under £3,000 inclusive of irrecoverable VAT) directly from the Estates Unit i.e. no capital bid required. All other requests should be sent to the Finance Unit to ascertain if funding is available and to determine if such works can be capitalised. The Budget holder must ensure that budget cover exists for such works and confirm in writing that funding is available.
- On PPP sites (Lisburn, Downpatrick, Newcastle, Ballynahinch), the Facilities Management provider – Grahams Asset Management (GAM) – must not be contacted directly. All requests must be via the Estates Unit.
- Requests for works or services must be made in writing via the Service Desk App or as per General Estates SOP (Section 8).
- It should be noted that that when a feasibility / budget costs are requested, the School / Unit requesting the works will be responsible for all associated costs incurred, whether or not the project proceeds.
- A full specification including proposed layouts, installation details, mechanical and electrical requirements, must be provided to the Estates Unit prior to any works being priced. Works will not be priced if this information is not provided. The Estates Unit will provide guidance on any relevant Estates statutory requirements e.g. Building Control approval and any Permits to Work which may be required. Responsibility for procurement will depend on the nature of the works or equipment being provided and must be confirmed in writing by the Budget Holder and confirmed by the Estates Unit e.g. equipment may be purchased on a supply and install basis or Estates may have to arrange for enabling works to be carried out. All procurement must be via procurement processes and procedures – see Procurement@serc.ac.uk.
- If the Budget Holder decides to delegate responsibility for the specification and liaising of the works e.g. Deputy Head of School (DHOS), Technician etc., then a single point of contact must be confirmed by them. The Budget Holder will have ultimate responsibility for the approval of specifications.

- Once works have been priced, the Budget Holder will be advised and will be asked for a decision. The Estates Unit must be advised in writing of the decision. Equipment bespoke to the particular Unit or Department will be procured by the relevant Budget Holder in accordance with SERC guidelines and co-ordinated by them. Installation and commissioning of the equipment will also be their responsibility – with the Estates Unit providing assistance as required.
- If confirmation to proceed is given, a mobilisation meeting co-ordinated by the Budget Holder will be held with the Estates Unit (and other relevant parties as required e.g. H&S Manager) to agree installation details, insurances, risk assessments, method statements and suitable Access NI clearances.
- Once completed, the Estates Unit must be given copies of all commissioning and testing certificates.

4.2 Estates Minor Works, Procurement & Installation of Equipment (Value > £3,000 inclusive of irrecoverable VAT) See Appendix 3

- A one-page summary capital "bid" will be completed by budget holder. This will describe the item, estimate costs and outline the expected benefits. This bid must be forwarded to the Finance Department.
- The Finance Department will review the summary capital bid to ascertain whether or not it constitutes capital expenditure.
- If the bid is deemed to be "capital", then a Business Case will need to be prepared.
- Finance, supported by the Budget Holder and Estates Department, will undertake completion of a Business Case (per DoF template). All necessary approvals from Finance, Estates, and Health & Safety etc. must be obtained before the Business Case can be considered complete.
- The Budget holder will contact Estates to confirm all specifications, infrastructure requirements, proposed installation dates etc.
- On PPP sites (Lisburn, Downpatrick, Newcastle, Ballynahinch), the Facilities Management provider – Grahams Asset Management (GAM) – must not be contacted directly. All requests must be via the Estates Department.
- Once the Business Case is complete and approved by CMT, the Procurement Specification will be confirmed. The Procurement Manager will take the lead on this.
- Once the full Business Case is approved by CMT and the Procurement Specification has been finalised, procurement can commence. Any commencement before full Business Case sign off will result in a breach of compliance requirements.
- Equipment bespoke to the particular Unit or Department will be procured by the Procurement Manager with assistance provided as required by the relevant Budget Holder. Installation and commissioning of such equipment will also be the responsibility of the Budget Holder and must be carried out by competent fully trained and certified persons with appropriate insurance cover – with the Estates Unit providing assistance as required. All enabling, and installation costs must form part of the Business Case.
- All installation details must be forwarded to the Estates Unit prior to any works being carried out.

5.0 Communication Plan

5.1 These procedures will be communicated to all staff via the College intranet and also referred to during the induction process and training.

6.0 Responsible Owner

6.1 It is the responsibility of Head of Estates, Facilities and Health & Safety to ensure that this policy is implemented, adhered to and reviewed.

7.0 Communication Plan

7.1 This Procedure will be uploaded to the College intranet and referred to in staff induction and training.

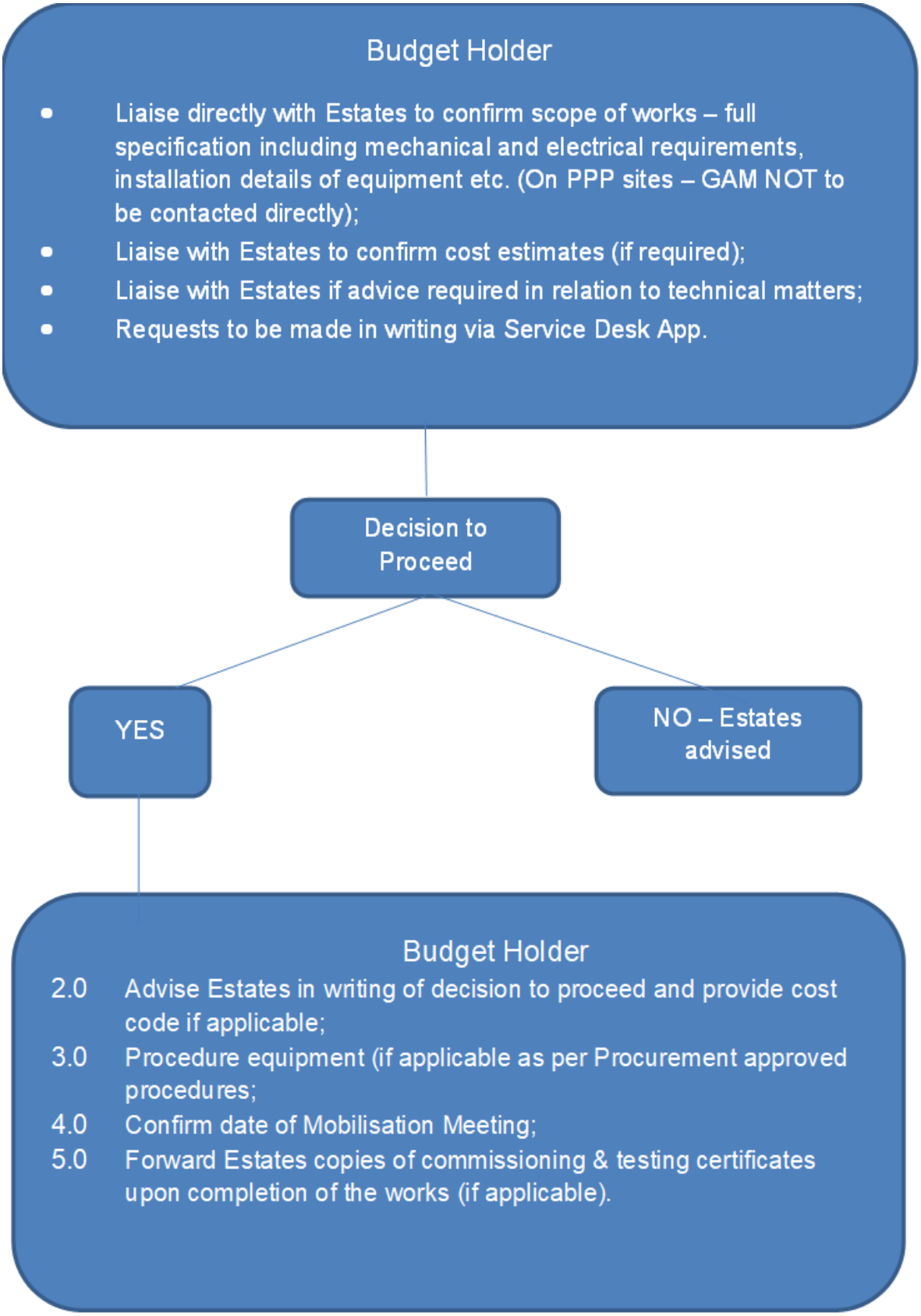
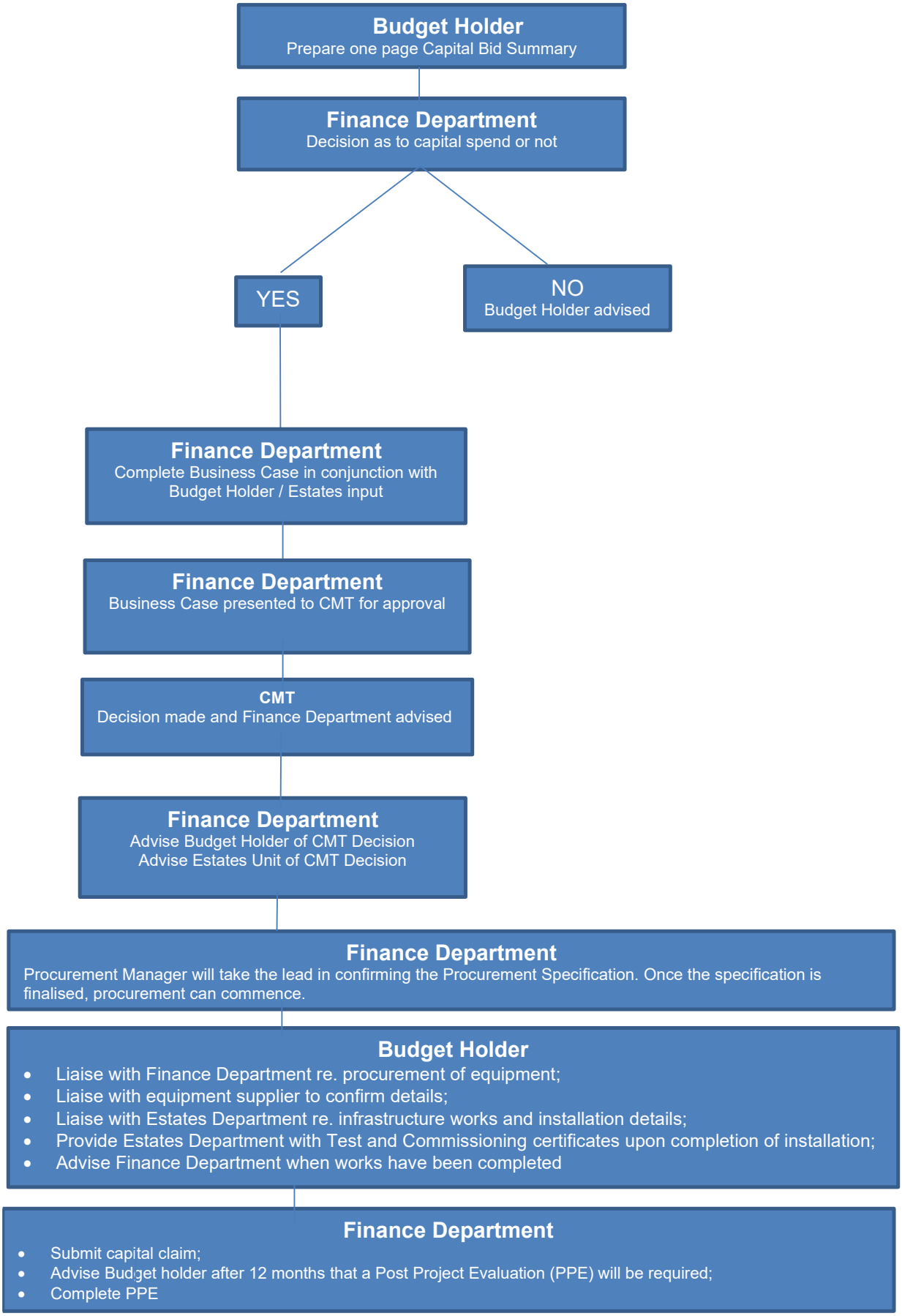
8.0 Review

8.1 This procedure will be reviewed annually or sooner to reflect changes in circumstance.

Appendix 1: Document Change History

Version	Date	Change Detail
1.0	Aug 2023	Transferred to new Accessibility template
1.1	December 2023	Reviewed and no changes required. Next Review Date amended
1.2	December 2024	Responsible owner changed to Head of Estates, Facilities and Health & Safety Cover Sheet updated
1.3	December 2025	Section 4 – additional paragraph added re. feasibility / budget costs.

Appendix 2 Spend < £3,000 Inclusive of irrecoverable VAT (Revenue)



Appendix 3 Spend > £3,000 inclusive of irrecoverable VAT (Capital)